



**GAIL FARBER, Director**

**COUNTY OF LOS ANGELES**  
**DEPARTMENT OF PUBLIC WORKS**

*"To Enrich Lives Through Effective and Caring Service"*

900 SOUTH FREMONT AVENUE  
ALHAMBRA, CALIFORNIA 91803-1331  
Telephone: (626) 458-5100  
<http://dpw.lacounty.gov>

ADDRESS ALL CORRESPONDENCE TO:  
P.O. BOX 1460  
ALHAMBRA, CALIFORNIA 91802-1460

December 08, 2009

The Honorable Board of Supervisors  
County of Los Angeles  
383 Kenneth Hahn Hall of Administration  
500 West Temple Street  
Los Angeles, California 90012

**ADOPTED**

BOARD OF SUPERVISORS  
COUNTY OF LOS ANGELES

24 December 8, 2009

*Sachi A. Hamai*  
SACHI A. HAMAI  
EXECUTIVE OFFICER

Dear Supervisors:

**AWARD OF CONTRACT FOR AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING  
SERVICES PROGRAM  
(ALL SUPERVISORIAL DISTRICTS)  
(3 VOTES)**

**SUBJECT**

This action is to award 12 contracts for as-needed geotechnical and environmental drilling services program throughout the County of Los Angeles with various contractors.

**IT IS RECOMMENDED THAT YOUR BOARD:**

1. Find that the contract work is categorically exempt from the provisions of the California Environmental Quality Act.
2. Award 12 contracts for As-Needed Geotechnical and Environmental Drilling Services Program in an annual aggregate sum not to exceed \$1.5 million to various contractors. These contracts will be for a term of one year commencing on January 1, 2010, with four 1 year renewal options, not to exceed a total contract period of five years, and a potential maximum aggregate contract sum of \$7.5 million.
3. Authorize the Director of Public Works or her designee to annually increase the program amount up to an additional 10 percent of the annual program sum for unforeseen, additional work within the scope of the contract, if required.
4. Authorize the Director of Public Works or her designee to execute these contracts; to renew the contracts for each additional renewal option if, in the opinion of the Director of Public Works, the contractors have successfully performed during the previous contract period and the services are still required; to approve and execute amendments to incorporate necessary changes within the scope of work; and to suspend work if, in the opinion of the Director of Public Works, it is in the best interest of the County to do so.

**PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION**

The purpose of the recommended action is to provide as needed geotechnical and environmental drilling services at various locations within the unincorporated County areas. The work to be performed will consist of various aspects of drilling related to investigations for geotechnical, environmental, and groundwater purposes. The Department of Public Works (Public Works) has contracted these services since 1997.

**Implementation of Strategic Plan Goals**

The Countywide Strategic Plan directs the provision of Operational Effectiveness (Goal 1) and Community and Municipal Services (Goal 3). The contractors who have the specialized expertise to provide these services accurately, efficiently, timely, and in a responsive manner will support Public Works in meeting these goals.

**FISCAL IMPACT/FINANCING**

The requested not-to-exceed aggregate annual program amount is \$1.5 million plus 10 percent for additional work within the scope of the contract. This amount is based on the estimated annual utilization of the contractors' services by Public Works.

Financing for these additional services is included in Public Works' Fiscal Year 2009 10 various fund budgets. When the need arises for services under the program, financing for the required services will be made available from the appropriate fund source. Total annual expenditures for these services will not exceed the program amount approved by your Board, and no services will be ordered without the funding authorization of Public Works' Financial Management Branch. Funds to finance the contracts' optional years and 10 percent additional funding for contingencies will be requested through the annual budget process.

**FACTS AND PROVISIONS/LEGAL REQUIREMENTS**

These contracts will be in the form previously reviewed and approved by County Counsel (Enclosure A). Prior to the Director of Public Works or her designee executing these contracts, the contractor will sign and County Counsel will review them as to form. The recommended contracts were solicited on a qualification basis and are in accordance with applicable Federal, State, and County requirements. The contractors are in compliance with the Chief Executive Officer's and your Board's requirements.

These contracts contain terms and conditions supporting your Board's ordinances, policies, and programs, including but not limited to: County's Greater Avenues for Independence and General Relief Opportunities for Work Programs (GAIN and GROW), Board Policy No. 5.050; Contract Language to Assist in Placement of Displaced County Workers, Board Policy No. 5.110; Reporting of Improper Solicitations, Board Policy No. 5.060; Notice to Contract Employees of Newborn Abandonment Law (Safely Surrendered Baby Law), Board Policy No. 5.135; Contractor Employee Jury Service Program, Los Angeles County Code, Chapter 2.203; Notice to Employees Regarding the Federal Earned Income Credit (Federal Income Tax Law, Internal Revenue Service Notice 1015); Contractor Responsibility and Debarment, Los Angeles County Code, Chapter 2.202; the Los Angeles County's Child Support Compliance Program, Los Angeles County Code, Chapter 2.200; and the standard Board directed clauses that provide for contract termination or renegotiation.

These contracts include provisions that comply with Caltrans' Local Assistance Procedures Manual, which would qualify Public Works for Federally funded projects.

For most routine nonemergency work, once work has been identified, a bid request will be sent out to all qualified contractors. The work will be awarded to the lowest-cost, responsive, and responsible contractor.

Data regarding the proposers' minority participation is on file with Public Works. The contractors were selected upon final analysis and consideration without regard to race, creed, gender, or color.

The recommended 12 contractors are listed in Enclosure B. These contracts will commence on January 1, 2010, for a period of one year. With your Board's delegated authority, the Director of Public Works or her designee may renew these contracts for four 1 year renewal options, not to exceed a total contract period of five years.

Proof of the required Comprehensive General and Automobile Liability insurance policies, naming the County as additional insured, and evidence of Workers' Compensation insurance will be obtained from the contractors before any work is assigned.

Public Works has evaluated and determined that the Living Wage Program (Los Angeles County Code, Chapter 2.201) does not apply to this recommended program, which is for services required on an as-needed and intermittent basis; hence, this program is not a Proposition A contract (Los Angeles County Code, Chapter 2.121).

This program does not allow for a cost-of-living adjustment for the optional years.

### **ENVIRONMENTAL DOCUMENTATION**

These services are categorically exempt from the provisions of the California Environmental Quality Act (CEQA) Guidelines. These services are within a class of projects that have been determined not to have a significant effect on the environment in that they meet the criteria set forth in Sections 15306 and 15304 (f) of CEQA.

### **CONTRACTING PROCESS**

On September 1, 2009, Public Works solicited proposals from 82 independent contractors and community business enterprises to accomplish this work. Also, a notice of the Request for Statement of Qualifications (RFSQ) was placed on the County's bid website (Enclosure C), and an advertisement was placed in the Los Angeles Times.

On October 5, 2009, 12 proposals were received. The proposals were reviewed to ensure they met the minimum requirements outlined in the RFSQ. In accordance with the award criteria outlined in the RFSQ, Public Works is recommending that all 12 contractors be offered the opportunity to enter into a contract with the County.

Public Works will reopen the RFSQ, as necessary, in order to continue to receive proposals from additional vendors. Upon future Board approval, Public Works will request delegated authority for the Director of Public Works or her designee to execute additional contracts with contractors who meet the RFSQ requirements on an as needed basis depending on the operational needs of Public Works, as indicated in the attached RFSQ (Enclosure D).

### **IMPACT ON CURRENT SERVICES (OR PROJECTS)**

The award of these contracts will not result in the displacement of any County employees as these services are presently contracted with the private sector.

### **CONCLUSION**

Please return one adopted copy of this letter to the Department of Public Works, Administrative Services Division.

The Honorable Board of Supervisors

12/8/2009

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Respectfully submitted,

A handwritten signature in cursive script that reads "Gail Farber".

GAIL FARBER

Director

GF:GZ:cg

Enclosures

c: Chief Executive Office (Lari Sheehan)  
County Counsel  
Executive Office

## SAMPLE AGREEMENT FOR

## AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES

PROGRAM (2009-AN020)

THIS AGREEMENT, made and entered into this \_\_\_\_ day of \_\_\_\_\_, 2009, by and between the COUNTY OF LOS ANGELES, a subdivision of the State of California, a body corporate and politic (hereinafter referred to as COUNTY) and [Name of CONTRACTOR], a [Form of Entity] (hereinafter referred to as CONTRACTOR).

WITNESSETH

FIRST: The CONTRACTOR, for the consideration hereinafter set forth and the acceptance by the Board of Supervisors of said COUNTY of the CONTRACTOR'S Proposal filed with the COUNTY on November 5, 2009, hereby agrees to provide services as described in this Contract for As-Needed Geotechnical and Environmental Drilling Services Program (2009-AN020).

**SECOND:** This AGREEMENT, together with Exhibit A, Scope of Work; Exhibit B, Service Contract General Requirements; Exhibit C, Internal Revenue Service Notice 1015; Exhibit D, Safely Surrendered Baby Law Posters; Exhibit E, Drilling Services; Exhibit F, Work To Be Done; Exhibit G, Federally Funded Projects; the CONTRACTOR'S Proposal, all attached hereto; the Request for Proposals; and Addenda to the Request for Proposals, all of which are incorporated herein by reference, are agreed by the COUNTY and the CONTRACTOR to constitute the Contract.

**THIRD:** The COUNTY agrees, in consideration of satisfactory performance of the foregoing services in strict accordance with the Contract specifications to the satisfaction of the Director, to pay the CONTRACTOR pursuant to the Schedule of Prices for each project subsequently bid on Form PW-2. In no event will the COUNTY pay any and all contractors providing service under this program an aggregate annual amount to exceed \$\_\_\_\_\_, or such greater amount as the Board may approve (Maximum Contract Sum).

[illegible]

FOURTH: The COUNTY determined that contracts for these services would be awarded to one or more qualified contractors to provide these as-needed services. Public Works will identify the work to be performed and will send out a Bid Request to all qualified contractors who have the required equipment specifications for the type of drilling work requested. If, in the sole judgment of the County Contract Manager, the work may involve encountering groundwater, the contractor must possess a valid and active California-issued, Contractor Classification C-57, Water Well Drilling license in order to submit a bid. Failure of Contractor to provide a bid in the manner and time frame specified by the County will be considered as nonresponsive. The work will be awarded to the lowest-cost, responsive, and responsible contractor. In the event that the lowest-cost contractor does not have the desired experience and equipment(s) available to provide service within the COUNTY'S time frame or is otherwise unable to perform the work at the bid price, in the sole judgment of Public Works, the COUNTY will then request service from the next lowest-cost contractor for the type of drilling required and so on until the COUNTY'S requirement is filled. The lowest cost is based on the contractor's bid, and, if applicable, the Local Small Business Enterprise (SBE) Preference and Transitional Job Opportunities Preference. For Bid Requests that involve Federal funding subject to Federal Highway Administration (FHWA), the requirements of Exhibit G shall be followed, including, but not limited to, a preaward audit evaluation. In emergency situations as determined in the sole discretion of the County, the County may obtain a single bid from the Contractor of its choice to meet project requirements. Notwithstanding the foregoing, the parties understand and agree that this Contract is nonexclusive, the COUNTY may enter into other contracts for the performance of the same or similar services, and the CONTRACTOR is not entitled to or guaranteed the assignment of any work hereunder.

FIFTH: This Contract's initial term shall be for a period of one year commencing on \_\_\_\_\_. At the sole discretion of the COUNTY, this Contract may be extended in increments of one year, not to exceed a total contract period of five years. The COUNTY, acting through the Director, may give a written notice of intent to extend this Contract at least ten days prior to the end of each term. At the sole discretion of the COUNTY, in lieu of extending the Contract for the full one year, this Contract may be extended on a month-to-month basis, upon written notice to the Contractor at least ten days prior to the end of a term. The Director will provide a written notice of nonrenewal at least ten days before the last day of any term, in which case this Contract shall expire as of midnight on the last day of that term. Where all option years have been exercised, the Director will not provide a written notice of nonrenewal.

SIXTH: The CONTRACTOR shall bill for all work performed on a project-by-project basis, to the satisfaction of the Director, upon receipt of a completed invoice from the Contractor, in arrears, for the work performed during the preceding month. Work performed shall be billed at the hourly rates and/or unit prices quoted in the bid on Form PW-2 for the work requested. The Contractor's claim will clearly indicate this Contract's number, job order number, dates of service, location, type of services, and itemized cost of labor and material. Public Works will only pay actual materials and equipment used and hours worked by the Contractor's employees on the assigned project. Public Works reserves the right to request additional information it may deem necessary on the invoices.

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SEVENTH: Public Works will make payment to the CONTRACTOR within 30 days of receipt and approval of a properly completed invoice. However, should the CONTRACTOR be certified by the COUNTY as a Local SBE, payment will be made in accordance with the Board of Supervisors Policy No. 3.035, Small Business Liaison and Prompt Payment Program. Each invoice shall be in triplicate (original and two copies) and shall itemize the work completed. The invoices shall be submitted to:

County of Los Angeles Department of Public Works  
Attention Fiscal Division, Accounts Payable  
P.O. Box 7508  
Alhambra, CA 91802-7508

EIGHTH: In no event shall the aggregate total amount of compensation paid to any and all Contractors under this program exceed the amount of compensation authorized by the Board. Such aggregate total amount is the Maximum Contract Sum.

NINTH: The CONTRACTOR understands and agrees that only the designated Public Works Contract Manager is authorized to request or order work under this Contract. The CONTRACTOR acknowledges that the designated Contract Manager is not authorized to request or order any work that would result in the CONTRACTOR earning an aggregate compensation in excess of this Contract's Maximum Contract Sum.

TENTH: The CONTRACTOR shall not perform or accept work requests from the Contract Manager or any other person that will cause the Maximum Contract Sum of this Contract to be exceeded. The CONTRACTOR shall monitor the balance of this Contract's Maximum Contract Sum. When the total of the CONTRACTOR'S paid invoices, invoices pending payment, invoices yet to be submitted, and ordered services reaches 75 percent of the Maximum Contract Sum, the CONTRACTOR shall immediately notify the Contract Manager in writing. The CONTRACTOR shall send written notification to the Contract Manager when this Contract is within six months from expiration of the term as provided for hereinabove.

ELEVENTH: No cost-of-living adjustments shall be granted for the optional renewal periods.

TWELFTH: In the event that terms and conditions, which may be listed in the CONTRACTOR'S Proposal, conflict with the COUNTY'S specifications, requirements, and terms and conditions as reflected in this AGREEMENT, including, but not limited to, Exhibits A through G, inclusive, the COUNTY'S provisions shall control and be binding.

THIRTEENTH: The CONTRACTOR agrees in strict accordance with the Contract specifications and conditions to meet the COUNTY'S requirements.

FOURTEENTH: This Contract constitutes the entire agreement between the COUNTY and the CONTRACTOR with respect to the subject matter of this Contract and supersedes all prior and contemporaneous agreements and understandings.

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IN WITNESS WHEREOF, the COUNTY has, by order of its Board of Supervisors, caused these presents to be subscribed by the Director of Public Works, and the CONTRACTOR has subscribed its name by and through its duly authorized officers, as of the day, month, and year first written above.

COUNTY OF LOS ANGELES

By \_\_\_\_\_  
Director of Public Works

APPROVED AS TO FORM:

ROBERT E. KALUNIAN  
Acting County Counsel

By \_\_\_\_\_  
Deputy

[NAME OF CONTRACTOR]

By \_\_\_\_\_  
Its President

\_\_\_\_\_  
Type or Print Name

By \_\_\_\_\_  
Its Secretary

\_\_\_\_\_  
Type or Print Name

**LIST OF CONTRACTORS TO BE AWARDED  
AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL  
DRILLING SERVICES PROGRAM**

<b>CONTRACTOR</b>	<b>LOCATION</b>
ABC LIOVIN DRILLING, INC.	SIGNAL HILL, CALIFORNIA
AMERICAN WELL TECHNOLOGIES	FONTANA, CALIFORNIA
BOART LONGYEAR CO.	UPLAND, CALIFORNIA
FUGRO CONSULTANTS, INC.	SANTA FE SPRINGS, CALIFORNIA
GREGG DRILLING AND TESTING, INC.	SIGNAL HILL, CALIFORNIA
JET DRILLING, INC.	SIGNAL HILL, CALIFORNIA
KEHOE TESTING AND ENGINEERING	HUNTINGTON BEACH, CALIFORNIA
MARTINI DRILLING CORP.	HUNTINGTON BEACH, CALIFORNIA
TRI-COUNTY DRILLING	SAN DIEGO, CALIFORNIA
VIRONEX, INC.	SANTA ANA, CALIFORNIA
WESTERN STRATA EXPLORATION	CLARKSBURG, CALIFORNIA
WDC WELLS & EXPLORATION	MONTCLAIR, CALIFORNIA

**ENCLOSURE C****Bid Detail Information**

**Bid Number :** PW-ASD 764  
**Bid Title :** AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES PROGRAM (2009-AN020)  
**Bid Type :** Service  
**Department :** Public Works  
**Commodity :** BORING, DRILLING, TESTING, AND SOUNDINGS SERVICES  
**Open Date :** 9/1/2009  
**Closing Date :** 9/14/2009 2:00 PM  
**Bid Amount :** N/A  
**Bid Download :** Not Available  
**Bid Description :** PLEASE TAKE NOTICE that Public Works requests Statement of Qualifications for the contract for As-Needed Geotechnical and Environmental Drilling Services Program (2008-AN020). The total aggregate annual program amount of this service is estimated to be \$1,500,000. The Request for Statement of Qualifications (RFSQ) with contract specifications, forms, and instructions for preparing and submitting statement of qualifications may be accessed at <http://dpw.lacounty.gov/asd/contracts> or may be requested from Ms. Melissa Saradpon at (626) 458 4077 or [msaradpon@dpw.lacounty.gov](mailto:msaradpon@dpw.lacounty.gov), Monday through Thursday, 7 a.m. to 5 p.m.

Any addenda associated with this RFSQ will also be posted at the above link. Please check periodically for any addenda, if any.

Minimum Requirement(s): Proposers must meet all minimum requirements set forth in the RFSQ document, including, but not limited to, a valid and active California-issued Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license at the time of submission. In addition, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is required in order to qualify for water well drilling service. A Proposers' Conference will be held on Monday, September 14, 2009, at 2 p.m. at Public Works Headquarters, 900 South Fremont Avenue, Alhambra, California 91803, in the Conference Room A. ATTENDANCE BY THE PROPOSER OR AN AUTHORIZED REPRESENTATIVE AT THE CONFERENCE IS OPTIONAL. Any addenda will be uploaded to the internet and can be found using the link above. It is the responsibility of the Proposers who do not attend the conference to periodically check to see if there are any changes to the RFSQ before submission. Attendees should be prepared to ask questions at that time about the specifications, statement of qualifications requirements, and contract terms. After the conference, it may be impossible to respond to further requests for information.

The deadline to submit the statement of qualifications is Monday, September 28, 2009, at 5:30 p.m. Please direct your questions to Ms. Saradpon at the number above.

**Contact Name :** MS. MELISSA SARADPON  
**Contact Phone# :** (626) 458-4077  
**Contact Email :** [msaradpon@dpw.lacounty.gov](mailto:msaradpon@dpw.lacounty.gov)  
**Last Changed On :** 9/1/2009 7:18:19 AM

[Back to Last Window](#)



GAIL FARBER, Director

# COUNTY OF LOS ANGELES

## DEPARTMENT OF PUBLIC WORKS

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IN REPLY PLEASE  
REFER TO FILE: **AS-0**

September 24, 2009

### REQUEST FOR PROPOSALS – ADDENDUM 1 AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES PROGRAM (2009-AN020)

Thank you for attending our optional Proposers' Conference for As-Needed Geotechnical and Environmental Drilling Services Program (2009-AN020) on Tuesday, September 8, 2009, and for your interest in the Request for Statement of Qualifications (RFSQ). The following revisions have been made to the RFSQ. Added words are shown in **bold** and deleted language has been struck out:

1. Part I, Section 2.B.1, has been replaced in its entirety to read:

**SOQs shall be submitted with four complete sets (one original, one copy, two electronic copies [one of which must be a redacted copy] on a CD in PDF Format) of the SOQ and any related information. On the redacted copy, which should be submitted as one of the electronic copies, please redact any trade secret, confidential, proprietary, or other personal information from the SOQs such as Social Security numbers. SOQs received after the closing date and time specified in the Request for Statement of Qualifications will be rejected by Public Works as nonresponsive.**

2. Part I, Section 4.D.7, has been revised to read:

**Statement of Qualifications was time stamped by the Cashier prior to the deadline for submission of the SOQ (Statement of Qualifications). SOQ time stamped after this time will be considered in the subsequent round of contract awards for this program, which may be offered on an as-needed basis depending on the operational needs of the County.**

3. Part I, Section 2.A.14, has been revised to read:

**PW-12 Charitable Contributions Certifications; and**

**~~PW-18 Disclosure of Lobbying Activities~~**

The following are responses to questions:

1. **Question:** Would a company offering Core Penetration Testing (CPT) services need to team up with a local drilling company in order to meet contract requirements?

**Answer:** A company offering solely CPT services would not need to team up with a drilling company to meet contract requirements. However, if a company teamed up with another company, only one company would be the primary contractor and the other company would be the subcontractor. The County will only have a contract with the primary contractor.

2. **Question:** Can the C-57 license be used for core drilling?

**Answer:** The C-57 license can be used for core drilling, or any other type of drilling, in addition to water well drilling.

3. **Question:** Aside from the drilling, would the contractors actually be performing sample collection, analyzing lab samples, etc.?

**Answer:** The contractor would provide the bulk sample to the County geologist or engineer, but it is not anticipated that the contractor would prepare the bulk sample for analytical testing and contract with a laboratory for analytical testing.

4. **Question:** Please specify and confirm which forms are due next week.

**Answer:** All forms PW-1 through PW-20, with the exception of Forms PW-2 and PW-11, must be submitted with your company's SOQ.

5. **Question:** Please confirm if we can submit our fee schedule required in Form PW-2 in our own format without being considered as an alteration to the document.

**Answer:** You may submit your fee schedule as part of your company profile under the Experience section, however, it should not be submitted as part of Form PW-2. Though it will not be considered an alteration to Form PW-2, it is not recommended to be submitted by the SOQ deadline.

6. **Question:** Please confirm that the fees listed on our fee schedule are not firm – these can be changed or modified per contract bid request.

**Answer:** Your fee schedule is not firm. You will be able to submit a Form PW-2, Schedule of Prices, upon the release of each bid request.

7. **Question:** Prevailing Wages will apply – will the LA County PW give a provision for adjustments if PW rates increase at any time(s) over the life of the contract?

**Answer:** Public Works will monitor all rates, including the rate the contractor pays their employees, and compliance with the prevailing wage rate in accordance to the Department of Industrial Relations of the State of California. You will be able to submit a Form PW-2, Schedule of Prices, upon the release of each bid request. Public Works will not give a provision for adjustment for an increase in prevailing wage throughout the duration of a project.

8. **Question:** Some areas of LA County are more than 50 miles from our office location. Will we be able to charge per diem for our crews if we get to a jobsite this far?

**Answer:** Each project will have its own Form PW-2 and some may charge per diem and some may not. Some jobsites, especially those in Palmdale/Lancaster area, may be at a distance of 50 miles or more from many of the Proposer's home offices/yards. For projects where job site remoteness is an issue, Public Works may include in Form PW-2 a reimbursement for per diem charges. If not, it is at your discretion to factor the cost of per diem into the bid price. Since not all proposers who are bidding on the same job may request per diem reimbursement, the per diem cost will affect your overall job bid price.

9. **Question:** In Exhibit A, Item J – who will be responsible for utility clearing of proposed test locations?

**Answer:** Public Works will be responsible for marking areas to be excavated and contacting Underground Service Alert to obtain a DigAlert Ticket. The Contractor will be responsible for hand augering each boring location to a depth of at least 5 feet to verify that underground utilities are not present. In unique situations, Public Works may request the contractor to provide subcontract utility clearance services such as geophysical or air knife/soil vacuum services.

10. **Question:** Is there a preference on how the original and copy of the RFSQ is bound? Can a binder be used?

**Answer:** No, there is no preference on how the original and copy of the SOQ is bound. Yes, a binder can be used. However, we do request that your company submit two complete sets of the SOQ and that the contents of each SOQ are organized and tabbed in the sequence listed in Part I, Section 2, of the RFSQ. Please identify the original copy of the SOQ.

11. **Question:** Does the copy of the bound RFSQ need to be STAMPED COPY?

**Answer:** Yes, it is recommended that the SOQ copy be stamped "Copy" and the original SOQ copy should be stamped "Original".

12. **Question:** Do we need to deliver the RFSQ by FedEx or UPS? Or can it be hand delivered to the Cashier?

**Answer:** It is not required that SOQ be submitted via FedEx or UPS, however, if your company chooses to do so, please ensure that the mail delivery carrier has specific instructions to have the SOQ package time-stamped by the Public Works Cashier by the time of SOQ submission. Late SOQ submissions will be rejected as nonresponsive. SOQ's may be hand delivered.

13. **Question:** Instead of including a Quality Assurance Program that is separated into two manuals (one is 181 pages and the other is 82 pages) in the SOQ, would it be possible to include only the title page, table of contents and introduction page. Should you need a full copy, then we would be more than willing to submitting an electronic copy, either in a CD-ROM or through an email.

**Answer:** No, you must submit hardcopies in the two copies of your SOQ. You will need to submit a PDF version of the entire SOQ per Addendum #1.

14. **Question:** Do subcontractors need to submit Form PW-20?

**Answer:** No, subcontractors are not required to submit Form PW-20.

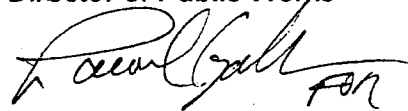
September 24, 2009  
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The deadline to submit the statement of qualifications has been extended to **Monday, October 5, 2009, at 5:30 p.m.**

If you have questions concerning the above information, please contact Ms. Melissa Saradpon at (626) 458-4077, Monday through Thursday, 7 a.m. to 5:30 p.m.

Very truly yours,

GAIL FARBER  
Director of Public Works

A handwritten signature in black ink, appearing to read 'Ghayane Zakarian', with a stylized 'FOR' written below it.

GHAYANE ZAKARIAN, Chief  
Administrative Services Division

MS

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GAIL FARBER, Director

# COUNTY OF LOS ANGELES

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ADDRESS ALL CORRESPONDENCE TO:  
P.O. BOX 1460  
ALHAMBRA, CALIFORNIA 91802-1460

September 1, 2009

IN REPLY PLEASE  
REFER TO FILE: AS-0

### NOTICE OF REQUEST FOR STATEMENT OF QUALIFICATIONS FOR AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES PROGRAM (2009-AN020)

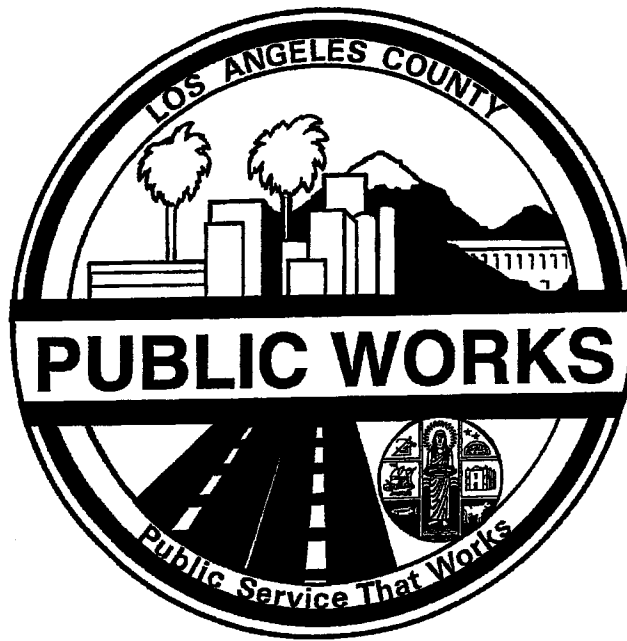
PLEASE TAKE NOTICE that Public Works requests Statement of Qualifications for the contract for As-Needed Geotechnical and Environmental Drilling Services Program (2008-AN020). The total aggregate annual program amount of this service is estimated to be \$1,500,000. The Request for Statement of Qualifications (RFSQ) with contract specifications, forms, and instructions for preparing and submitting statement of qualifications may be accessed at <http://dpw.lacounty.gov/asd/contracts> or may be requested from Ms. Melissa Saradpon at (626) 458-4077 or [msaradpon@dpw.lacounty.gov](mailto:msaradpon@dpw.lacounty.gov), Monday through Thursday, 7 a.m. to 5 p.m.

**Any addenda associated with this RFSQ will also be posted at the above link. Please check periodically for any addenda, if any.**

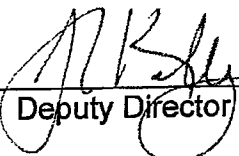
**Minimum Requirement(s):** Proposers must meet all minimum requirements set forth in the RFSQ document, including, but not limited to, a valid and active California-issued Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license at the time of submission. In addition, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is required in order to qualify for water well drilling service.

A Proposers' Conference will be held on **Monday, September 14, 2009, at 2 p.m.** at Public Works Headquarters, 900 South Fremont Avenue, Alhambra, California 91803, in the Conference Room A. **ATTENDANCE BY THE PROPOSER OR AN AUTHORIZED REPRESENTATIVE AT THE CONFERENCE IS OPTIONAL.** Any addenda will be uploaded to the internet and can be found using the link above. It is the responsibility of the Proposers who do not attend the conference to periodically check to see if there are any changes to the RFSQ before submission. Attendees should be prepared to ask questions at that time about the specifications, statement of qualifications requirements, and contract terms. After the conference, it may be impossible to respond to further requests for information.

**COUNTY OF LOS ANGELES**  
**DEPARTMENT OF PUBLIC WORKS**  
**REQUEST FOR STATEMENT OF QUALIFICATIONS**  
**FOR**  
**AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL**  
**DRILLING SERVICES PROGRAM (2009-AN020)**



Approved August 27, 2009  
Gail Farber  
Director of Public Works

By   
Deputy Director

REQUEST FOR STATEMENT OF QUALIFICATIONS FOR  
AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES  
PROGRAM (2009-AN020)

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## PART I

### REQUEST FOR STATEMENT OF QUALIFICATIONS

#### SECTION 1

#### INTRODUCTION

##### A. Proposers' Conference

Each Proposer or an authorized representative may attend a Proposers' Conference to be held at the place, date, and time announced in the Notice of Request for Statement of Qualifications. Proposers are encouraged to be prepared to ask questions concerning the Request for Statement of Qualifications (RFSQ), contract requirements, specifications, terms, and conditions. For example, questions may address concerns, if any, that the application of minimum mandatory requirements, evaluation criteria, and/or business requirements would unfairly disadvantage Proposers or, due to unclear instructions, may result in Public Works not receiving the best possible responses from Proposers. Upon conclusion of the Proposers' Conference, Public Works will only provide further clarifications and/or answers concerning this solicitation through an addendum(s). **Depending on the needs of the County, qualified Proposers may be offered an opportunity to enter into a contract with the County, provided all Statement of Qualifications (SOQ) submissions and insurance requirements are in proper order.** Please refer further to Part I, Section 2, Statement of Qualifications Preparation and Submission and Section 4, Evaluation of Statement of Qualifications; Award and Execution of Contract.

##### B. Minimum Mandatory Requirements

Interested and qualified Proposers, who can demonstrate their ability to successfully provide the required services outlined in Exhibit A, Scope of Work, of this RFSQ are invited to submit a statement of qualification, provided they meet the following requirement(s) at the time submission:

- Proposer and subcontractors, if any, must have a valid and active California-issued Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license at the time of submission. To qualify for water well drilling service, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is required

**C. Contract Analyst**

Proposers are instructed not to contact any County personnel other than the Contract Analyst listed below regarding this solicitation. All contact regarding this RFP or any matter relating thereto must be in writing and may be mailed, e-mailed, or sent via facsimile to:

County of Los Angeles Department of Public Works  
Administrative Services Division – 9th Floor  
Attention Ms. Melissa Saradpon  
P O. Box 1460  
Alhambra, California 91802-1460

E-mail: msaradpon@dpw.lacounty.gov  
Telephone: (626) 458-4077  
Facsimile: (626) 458-4194

If it is discovered that a Proposer contacted and received material information from any County personnel, other than the contract analyst named in the Notice of Request for Statement of Qualifications and above, regarding this solicitation, the County, in its sole determination, may disqualify their SOQ from further consideration.

**D. Child Support Compliance Program**

Proposers shall: 1) fully comply with all applicable State and Federal reporting requirements relating to employment reporting for its employees; and 2) comply with all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment, and continue to maintain compliance during the term of any contract that may be awarded pursuant to this solicitation. Failure to comply may be cause for termination of a contract and/or initiation of debarment proceedings against the noncompliant contractor (County Code Chapter 2.202)

**E. County Rights and Responsibilities**

The County has the right to amend this RFSQ by written addendum prior to the SOQ submission deadline. The County is responsible only for that which is expressly stated in this solicitation document and any authorized written addenda. Addendums shall be made available to each person or organization that attended the Proposers' Conference. Should an addendum(s) require additional information not previously requested, failure to address the requirements of such addendum may result in the SOQ not being considered, as determined in the sole discretion of the County. The County is not responsible for and shall not be bound by any representations otherwise made by any individual acting or purporting to act on its behalf.

F GAIN and GROW Programs

As a threshold requirement for consideration for contract award, Proposers shall demonstrate a proven record of hiring participants in the County's Department of Public Social Services' Greater Avenue for Independence (GAIN) and General Relief Opportunity for Work (GROW) Programs or shall attest to a willingness to consider GAIN and GROW participants for any future employment opening if they meet the minimum qualifications for that opening. Additionally, Proposers shall attest to a willingness to provide employed GAIN and GROW participants access to Proposer's employee mentoring program, if available, to assist these individuals in obtaining permanent employment and/or promotional opportunities. Proposers who are unable to meet this requirement shall not be considered for contract award. Proposers shall certify compliance on Form PW-10, GAIN and GROW Employment Commitment.

G. Indemnification and Insurance

The successful contractor will be required to comply with the indemnification provisions contained in Exhibit B, Section 5, Indemnification and Insurance Requirements. The contractor will be required to procure, maintain, and provide the County proof of insurance coverage for all programs of insurance along with associated amounts specified throughout the entire term of the proposed contract, without interruption or break in coverage.

H. Injury and Illness Prevention Program

The successful contractor will be required to comply with the State of California's Cal/OSHA's regulations. Section 3203 of Title 8 in the California Code of Regulations requires all California employers to have a written, effective Injury and Illness Prevention Program that addresses hazards pertaining to the particular workplace covered by the program.

I Interpretation of Request for Statement of Qualifications

The definitions and other rules of interpretation set forth in Part II, Sample Agreement and Exhibit B, Section 1, Interpretation of Contract, also apply to interpretation of this RFSQ.

J. Jury Service Program

- 1 The resultant contract from this RFSQ will be subject to the requirements of the County's Contractor Employee Jury Service Ordinance (Jury Service Program, Los Angeles County Code Chapter 2.203). Proposers should carefully read the pertinent jury service provisions in the Sample Agreement (Part II, Exhibit B, Service Contract General Requirements, Section 7,

Compliance with County's Jury Service Program). The Jury Service Program applies to both Contractors and their Subcontractors. Statement of Qualifications that fail to comply with the requirements of the Jury Service Program will be considered nonresponsive and excluded from further consideration.

2. The Jury Service Program requires Contractors and their Subcontractors to have and adhere to a written policy that provides that its employees shall receive from the Contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that employees deposit any fees received for such jury service with the Contractor or that the Contractor deduct from the employee's regular pay the fees received for jury service. For purposes of the Jury Service Program, "employee" means any California resident who is a full-time employee of a Contractor, and "full-time" means 40 hours or more worked per week or a lesser number of hours if: 1) the lesser number is a recognized industry standard as determined by the County; or 2) the Proposer has a long-standing practice that defines the lesser number of hours as full-time. Therefore, the Jury Service Program applies to all of a Contractor's full-time California employees, even those not working specifically on the County project. Full-time employees providing short-term, temporary services of 90 days or less within a 12-month period are not considered full-time for purposes of the Jury Service Program.
3. There are two ways in which a Contractor might not be subject to the Jury Service Program. The first is if the Contractor does not fall within the Jury Service Program's definition of "Contractor." The Jury Service Program defines "Contractor" to mean a person, partnership, corporation, or other entity which has a contract with the County or a Subcontract with a County Contractor and has received or will receive an aggregate sum of \$50,000 or more in any 12-month period under one or more County contracts or subcontracts. The second is if the Contractor meets one of the two exceptions to the Jury Service Program. The first exception concerns small businesses and applies to Contractors that have: 1) ten or fewer employees; and 2) annual gross revenues in the preceding 12 months which, if added to the annual amount of this proposed contract is less than \$500,000; and 3) is not an "affiliate or subsidiary of a business dominant in its field of operation." The second exception applies to Contractors that possess a collective bargaining agreement that expressly supersedes the provisions of the Jury Service Program. The Contractor is subject to any provision of the Jury Service Program not expressly superseded by the collective bargaining agreement.
4. If a Contractor does not fall within the Jury Service Program's definition of "Contractor" or if it meets any of the exceptions to the Jury Service Program, then the Contractor must so indicate in the Contractor Employee Jury Service Program Application for Exception and Certification Form

(Form PW-3) and include with its submission all necessary documentation to support the claim, such as tax returns or a collective bargaining agreement, if applicable. Upon reviewing the Contractor's application, the County will determine, in its sole discretion, whether the Contractor falls within the definition of "Contractor" or meets any of the exceptions to the Jury Service Program. The County's decision will be final.

**K. Local Small Business Enterprise Preference Program**

- 1 To the extent permitted by State and federal law and when the bid price is calculated, the County will give Local SBE preference during the solicitation process to businesses that meet the definition of a Local Small Business Enterprise (Local SBE), consistent with Chapter 2.204.030C 1 of the Los Angeles County Code. A Local SBE is defined as: 1) A business certified by the State of California as a small business and 2) has had its principal office located in Los Angeles County for at least one year. The business must be certified by the Office of Affirmative Action Compliance as meeting the requirements set forth in 1 and 2 above prior to requesting the Local SBE Preference in a solicitation.
- 2 To apply for certification as a Local SBE, businesses may register at the Office of Affirmative Action Compliance's website at:  
  
<http://oaac.co.la.ca.us/contract/sbemain.html>
3. Certified Local SBEs must request the SBE Preference in their solicitation responses and may not request the preference unless the certification process has been completed and certification affirmed. Businesses must attach their Local SBE Certification Letter to a completed Form PW-9, Request for Local SBE Preference Program Consideration and CBE Firm/Organization Information Form with their proposal. Sanctions and financial penalties may apply to a business that knowingly, and with intent to defraud, seeks to obtain or maintain certification as a certified Local SBE.
4. Information about the State's small business enterprise certification regulations is in the California Code of Regulations, Title 2, Subchapter 8, Section 1896 et seq., and is also available on the California Department of General Services Office of Small Business Certification and Resources website at <http://www.pd.dgs.ca.gov/smbus/default>.

**L. Notification to County of Pending Acquisitions/Mergers by Proposing/Bidding Company**

The Proposer shall notify the County of any pending acquisitions/mergers of their company. This information shall be provided by the Proposer on Form PW-1, Verification of Statement of Qualifications. The proposed contracts will only be awarded to the entities that submitted the SOQ. Any acquisitions and mergers

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will be handled pursuant to Exhibit B, Section 2.B, Assignment and Delegation and evaluated in accordance with the Board's policy regarding contractors engaged in mergers and acquisitions. Failure of the Proposer to provide this information may eliminate it from any further consideration

**M. Prompt Payment Program**

It is the intent of the County that Certified Local SBEs receive prompt payment for services they provide to County departments. Prompt payment is defined as 15 calendar days after the receipt of an undisputed and approved invoice.

**N. Request for Statement of Qualifications Requirements and Contract Specifications**

1. Persons who wish to contract with the County may respond to this RFSQ by submitting a SOQ in the form described in the following Sections and Attachments. Proposers are instructed to carefully read these Terms, Requirements, Specifications, Conditions, Attachments, and Exhibits.
2. Requirements for SOQs are explained in Part I of this RFSQ
3. The contract specifications are fully described in Part II, Sample Agreement; Exhibit A, Scope of Work; and Exhibit B, Service Contract General Requirements. Proposers are also requested to review Attachment 1, Policy on Doing Business with Small Business; and Attachment 2, Debarred Vendors Report; and Attachment 3 County of Los Angeles Lobbyist Ordinance.
4. Dates and times of the Proposers' Conference and for the submission of SOQ are set forth in the Notice of Request for Statement of Qualifications.

**O. Proposer's Charitable Contributions Compliance**

California's "Supervision of Trustees and Fundraisers for Charitable Purposes Act" regulates receiving and raising charitable contributions. Among other requirements, those subject to the Charitable Purposes Act must register. The 2004 Nonprofit Integrity Act (SB 1262, Chapter 919) increases Charitable Purposes Act requirements. New rules cover California public benefit corporations, unincorporated associations, trustee entities, and may include similar foreign corporations doing business or holding property in California. Key Nonprofit Integrity Act requirements affect executive compensation, fund-raising practices, and documentation. Charities with over \$2 million of revenues (excluding funds that must be accounted for to a governmental entity) have new audit requirements.

All prospective contractors must determine if they receive or raise charitable contributions, which subject them to the Charitable Purposes Act and complete the certification form attached as Form PW-12. A completed Form PW-12 is a required part of any agreement with the County

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In Form PW-12, prospective contractors certify either that:

- 1 They have determined that they do not now receive or raise charitable contributions regulated under the California Charitable Purposes Act (including the Nonprofit Integrity Act) but will comply if they become subject to coverage of those laws during the term of a County contract; or
2. They are currently complying with their obligations under the Charitable Purposes Act, attaching a copy of their most recent filing with the Registry of Charitable Trusts.

Prospective County contractors that do not complete Form PW-12 as part of the solicitation process may, in the County's sole discretion, be disqualified for contract award. A County contractor that fails to comply with its obligations under the Charitable Purposes Act is subject to either contract termination or debarment proceedings or both (County Code Chapter 2.202).

**P Transitional Job Opportunities Preference Program**

To the extent permitted by State and federal law in evaluating proposals and when the bid price is calculated, the County will give preference to businesses that are certified by the County as Transitional Job Opportunity vendors, consistent with Chapter 2.205 of the Los Angeles County Code. A Certified Transitional Job Opportunity vendor is, and has been such for three years, an entity that is a nonprofit organization recognized as tax exempt pursuant to section 501 (c)(3) of the Internal Revenue Services Code, set forth, under penalty of perjury, such information as requested by the County on either electronic or hard copy forms, along with their application form and three most recent annual tax returns to Public Works with their proposal response to contracting solicitation for which they are competing; has been in services to program participants, and provided a profile of their program a description of their program components designed to assist program participants, number of past program participants, and any other information requested by Public Works. Transitional Job Opportunities vendors must request the preference in their solicitation responses (Form PW-13) and may not receive the preference until their certification has been affirmed by Public Works. County must verify the Transitional Job Opportunity vendor certification prior to applying the preference. Sanctions and financial penalties may apply to a vendor that knowingly and with intent to defraud seeks to obtain or maintain certification as a Transitional Job Opportunities vendor.

**Q Vendor Registration**

Proposers must register on-line with the County's web-based vendor registration system to facilitate the contract award process. Registration can be accomplished online via the Internet by accessing the County's home page at [http://lacounty.info/doing\\_business/main\\_db.htm](http://lacounty.info/doing_business/main_db.htm) and click on "Vendor Registration Information – Self Registration." Being registered will assist the

Proposer in receiving notifications of the release of County solicitations that may be of interest to the Proposer.

## SECTION 2

### STATEMENT OF QUALIFICATIONS PREPARATION AND SUBMISSION

#### A. Statement of Qualifications Format and Content Requirements

SOQ shall be bound and presented in the sequence, with the content, and tabbed in the format stated below. Failure to provide the required information or to strictly comply with these guidelines may be a basis for rejection of the SOQ as nonresponsive at the County's sole discretion:

1. Title page

The title page shall show the Proposer's name, title of the service requested, local address, telephone number, and date of submittal.

2. Table of Contents

A comprehensive table of contents shall list all material included in the Statement of Qualifications.

3. Letter of Transmittal

A person legally authorized to enter into contracts for the Proposer shall sign the Letter of Transmittal. The letter must include a brief statement of the Proposer's understanding of the work to be accomplished and a list of names of individuals authorized to make representations for the Proposer, their titles, addresses, and telephone numbers.

4. Support Documents for Corporations and Limited Liability Companies

a. Corporations

Proposer must provide a copy of the corporation's "Certificate of Good Standing" with the State of California or state of incorporation and the most recent "Statement by Domestic (or Foreign) Stock Corporation" as filed with the California Secretary of State or state of incorporation. If Proposer's most recent Statement has only the "No change in information" box checked, the Proposer must also submit the most recent Statement, which includes a list of corporate officers. The "Statement of Information" must list the corporate officers.

b. Limited Liability Companies

Proposer must provide a copy of the most recent "Statement by Domestic (or Foreign) Stock Corporation" as filed with the California Secretary of State or state of incorporation. If Proposer's most recent Statement has only the "No change in information" box checked, the Proposer must also submit the most recent Statement,

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which includes a list of corporate officers. The "Statement of Information" must list the corporate officers.

5. Company Profile/Experience

Proposer's capabilities and experience shall be described comprehensively in order to provide for a meaningful evaluation, comparison, and assessment. The narrative should discuss each of the following subject areas:

- Background;
- Organization (provide a chart or outline of the firm's organizational structure); and
- Specific information regarding length and quality of experience providing services of the type described in these Specifications. Identify the roles of and submit resumes for the firm, principals, managing employees, on-site supervisors, other key staff, and subcontractors.
- Demonstrate how the Proposer complies with requirements outlined in Part I, Section 1.B, Minimum Mandatory Requirements, if any
- Include a copy of the company informational pamphlet/brochures.
- Listing the categories of drilling described in Exhibit A that the Proposer is submitting the proposal for

6. Work Plan

**FAILURE TO PREPARE AND INCLUDE A WORK PLAN MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.**

Describe comprehensively and in detail how the service will be performed to meet or exceed the requirements of Exhibit A, Scope of Work. Prepare and include a staffing plan that specifically describes the number of staff who will be committed to the project and their qualifications. If possible, list them by name. Describe and include the schedules, procedures, techniques, and methods that will be employed in meeting the objectives outlined in the Scope of Work. These may include personnel management, training, subcontracting, emergency and contingency planning, recruitment and replacement, supervision, supplies, uniforms, identification badges, safety, communications, and quality control.

7. Quality Assurance Program

Proposer shall describe its Quality Assurance Program (Program) that will

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be utilized by the Proposer as a self-monitoring tool to ensure that these services are performed in accordance with the County's contract requirements and recommendations. The Program must ensure service deliveries outlined in Exhibit A, Scope of Work, are completed in a timely manner, the services will be free of defects, and how those results will be achieved. The Program must comprehensively address the Proposer's organizational process for consistently delivering those requirements. At a minimum, the Program outlined in your proposal shall address in detail:

- a. Policies and Procedures – Quality control procedures for the Proposer, subcontractors, and suppliers must be described. The Proposer's staffing plan must include a qualified inspector to monitor compliance with the Program and deal with customer complaints and inquiries. If a subcontractor is to perform work, the Program must detail how that subcontractor will interface with the Proposer and how the Proposer will ensure that the subcontractor complies with the Program.
- b. Inspection Fundamentals – The Proposer shall provide samples of forms that outline required operations and quality levels. The Proposal must indicate the Proposer's inspection schedules, a methodology to correct deficiencies, level of supervision, and how the inspections are to be performed. The Proposal shall document the name, authority, relevant experience, and qualifications of the person with overall responsibility for the inspection system.
- c. Quality Control Documentation, Review, and Reporting – The Program shall describe and list the records to be maintained. The Program shall detail how the Proposer will maintain inspection records and make them available to the County.

8. Health and Safety Plan

- Submit the Proposer's Safety Record/Citation History from Federal OSHA and Cal/OSHA.
- Submit a Health and Safety Plan previously used by the Proposer in a typical drilling project.

9. Equipment

The Proposer shall submit an inventory of all operable equipment available to be used to accomplish the work. This equipment shall be listed on Form PW-17, Statement of Equipment Form, and may be subject to field inspection by Public Works.

10. Subcontractors

If subcontractors are to be used, submit a description of their proposed assignments, qualifications, experience, staffing, schedules, licenses, and certifications, if any

11 Licenses and Certifications

Proposer and subcontractors, if any, must have a valid and active California-issued Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license at the time of submission. To qualify for water well drilling service, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is required.

12. Insurance

Submit completed and signed Form PW-16, Proposer's Insurance Compliance Affirmation, acknowledging that the Proposer will comply with all provisions set forth in Exhibit B, Section 5, Indemnification and Insurance Requirements of this Request for Proposals if awarded the contract. In Form PW-16, Proposer affirms that the Proposer will procure, maintain, and provide the County with proof of insurance and coverage as specified by this Request for Proposals throughout the entire term of the proposed contract, without interruption or break in coverage.

13. Forms List

Complete and submit the following forms which are included in the RFSQ package:

- |      |  |
|------|--|
| PW-1 | Verification of Statement of Qualifications;   |
| PW-2 | Sample Cost Proposal/Schedule of Prices  |
| PW-3 | County of Los Angeles Contractor Employee Jury Service Program Application for Exception and Certification Form, |
| PW-4 | Contractor's Industrial Safety Record,   |
| PW-5 | Conflict of Interest Certification;  |
| PW-6 | Proposer's Reference List;   |
| PW-7 | Proposer's Equal Employment Opportunity Certification;   |
| PW-8 | List of Subcontractors;  |
| PW-9 | Request for Local Small Business Enterprise (SBE) Preference Program Consideration and CBE                       |

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Firm/Organization Information Form (Attach Local SBE certification form if requesting SBE preference);

- PW-10 GAIN and GROW Employment Commitment;
- PW-11 Transmittal Form to Request an RFP Solicitation Requirements Review (Submit only if requesting a review. If requesting a review, please submit form as early as possible but no later than 10 business days of issuance of this RFP to the listed Contract Analyst);
- PW-12 Charitable Contributions Certifications,
- PW-13 Transitional Job Opportunities Preference Application;
- PW-14 Statement of Terminated Contracts;
- PW-15 Proposer's Pending Litigations and Judgments;
- PW-16 Proposer's Insurance Compliance Affirmation,
- PW-17 Statement of Equipment Form;
- PW-18 Certification of Consultant, Commissions & Fees, Certification of Consultant;
- PW-19 Nonlobbying Certification for Federal-Aid Contracts, and
- PW-20 Disclosure of Lobbying Activities.

(Proposer should note that any change, edit, deletion, etc., of these forms by the Proposer may subject the Proposer's SOQ to disqualification, at the sole discretion of the County )

14. Subcontractors' Forms List

The County seeks diverse, broad-based participation in its contracting. Subcontractors, if any, shall be subject to all requirements set forth in the RFSQ that are applicable to contractors in general. If subcontractors are to be employed, Proposer must submit a statement of their proposed assignments, qualifications, experience, staffing, and schedules. In addition to this statement, the following forms must be completed and submitted for each subcontractor contemplated:

- PW-3 County of Los Angeles Contractor Employee Jury Service Program Application for Exception and Certification Form,
- PW-4 Contractor's Industrial Safety Record;

- PW-5 Conflict of Interest Certification;
- PW-7 Proposer's Equal Employment Opportunity Certification;
- PW-9 Request for Local Small Business Enterprise (SBE) Preference Program Consideration and CBE Firm/Organization Information Form (Part II of form only);
- PW-10 GAIN and GROW Employment Commitment Form,
- PW-12 Charitable Contributions Certifications, and
- PW-18 Disclosure of Lobbying Activities.

15 Additional Information

Additional information that is not presented elsewhere and is essential to a fair evaluation must appear in the last Section of the SOQ and be labeled "Additional Information." If there is no additional information the Proposer wishes to present, this Section will consist of the statement: "There is no additional information we wish to present."

B. Statement of Qualifications Submission

- 1 Statement of Qualifications shall be submitted with two complete sets (one original and one copy) of the SOQ and any related information. SOQs received after the closing date and time specified in the Notice of Request for SOQs will be rejected by Public Works as nonresponsive.
2. Submit SOQs to the County of Los Angeles Department of Public Works Cashier, located on the Mezzanine Floor, 900 South Fremont Avenue, Alhambra, California 91803, in a package that clearly identifies the Proposer and this RFSQ. SOQs are received only when accepted and time stamped by the Cashier. All other indications of apparent timely delivery may be disregarded
3. It is the responsibility of the Proposer to instruct delivery services, such as United Parcel Service and Federal Express, to deliver SOQs directly to the Cashier. Statement of Qualifications submitted via facsimile or e-mail will not be accepted.
4. Statement of Qualifications delivered by other means, including United States Postal Service, may be delayed in Public Works' mail system, resulting in untimely delivery to the Cashier and possible failure to meet the SOQ submission deadline. Delayed and missed deadlines for submission of SOQs not delivered in strict compliance with this RFSQ shall be the sole responsibility of the Proposer, not of the County, Public Works, or any Special District.

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### SECTION 3

## GENERAL CONDITIONS OF REQUEST FOR STATEMENT OF QUALIFICATIONS

### A. Acceptance or Rejection of Statement of Qualifications

The right is reserved to reject any or all SOQs that, in the judgment of the Board or Director, are not in the best interests of the County/Public Works/Special Districts. In the event of any such rejection, the County will not be liable for any costs incurred in connection with the preparation and submittal of a SOQ.

Statement of Qualifications signed by an agent other than the president and secretary of a corporation or a member of a general copartnership must be submitted with a power of attorney or corporate resolution, certified by the secretary or assistant secretary, authorizing such signature, otherwise, the SOQ may be rejected as unauthorized and nonresponsive.

No SOQ will be considered unless the Proposer submits a SOQ for all requested items. If the solicitation document requests multiple quotations, no SOQ will be considered unless the Proposer submits a price on all items within each category; however the solicitation document may not require the Proposer to submit a price on all or any of the categories.

### B. Altering Solicitation Document

The wording of the solicitation document shall not be changed. Any additions, conditions, limitations, or provisions inserted by the Proposer will render their SOQ irregular and may cause its rejection as nonresponsive.

### C. County Responsibility

The County will not be responsible for representation made by any of its officers or employees prior to the execution of the proposed contract unless such understanding or representation is included in the proposed contract.

### D. Determination of Proposer Responsibility

- 1 A responsible Proposer is a Proposer who has demonstrated the attribute of trustworthiness as well as quality, fitness, capacity, and experience to satisfactorily perform the proposed contract. It is the County's policy to conduct business only with responsible contractors.
- 2 Proposers are hereby notified that, in accordance with Chapter 2.202 of the Los Angeles County Code, the County may determine whether the Proposer is responsible based on a review of the Proposer's performance on any contracts, including, but not limited to, County contracts. Particular attention will be given to violations of labor laws related to employee compensation and benefits and evidence of false claims made by the Proposer against public entities. Labor law violations which are the fault of

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subcontractors and of which the Proposer had no knowledge shall not be the basis of a determination that the Proposer is not responsible.

3. The County may declare a Proposer to be nonresponsible for purposes of the proposed contract if the Board, in its discretion, finds that the Proposer has done any of the following: (1) violated a term of a contract with the County or a nonprofit corporation created by the County; (2) committed an act or omission which negatively reflects on the Proposer's quality, fitness, or capacity to perform a contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same, (3) committed an act or omission which indicates a lack of business integrity or business honesty; or (4) made or submitted a false claim against the County or any other public entity.
4. If there is evidence that the qualified Proposer may not be responsible, Public Works will notify the Proposer in writing of the evidence relating to the Proposer's responsibility and its intention to recommend to the Board that the Proposer be found not responsible. Public Works will provide the Proposer and/or the Proposer's representative with an opportunity to present evidence as to why the Proposer should be found to be responsible and to rebut evidence, which is the basis for Public Works' recommendation.
5. If the Proposer presents evidence in rebuttal to Public Works, Public Works will evaluate the merits of such evidence, and based on that evaluation, make a recommendation to the Board. The final decision concerning the responsibility of the Proposer will reside with the Board.
6. These terms shall also apply to proposed subcontractors of Proposer on County contracts.

**E. Disqualification of Proposers**

More than one SOQ from an individual, firm, partnership, corporation, or association under the same or different names will not be considered. Reasonable grounds for believing that any proposer has an interest in more than one SOQ for the work contemplated may cause the rejection of all SOQs in which such Proposer has interest on the basis of nonresponsibility and/or nonresponsiveness. If there is reason for believing that collusion exists among the proposers, such collusion by the participants may be cause for the rejection of their SOQs or future SOQs on the basis of nonresponsibility and/or nonresponsiveness and may subject such proposers to debarment.

**F. Gratuities**

1. It is improper for any County officer, employee, or agent to solicit consideration, in any form, from a proposer with the implication, suggestion,

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or statement that the Proposer's provision of the consideration may secure more favorable treatment for the Proposer in the award of the proposed contract or that the Proposer's failure to provide such consideration may negatively affect the County's consideration of the Proposer's submission. A Proposer shall not offer or give, either directly or through an intermediary, consideration, in any form, to a County officer, employee, or agent for the purpose of securing favorable treatment with respect to the award of the proposed contract.

2. A Proposer shall immediately report any attempt by a County officer, employee, or agent to solicit such improper consideration. The report shall be made either to the County manager charged with the supervision of the employee or to the County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861. Failure to report such a solicitation may result in the Proposer's submission being rejected on the basis of nonresponsibility and/or nonresponsiveness.
3. Among other items, such improper consideration may take the form of cash, discounts, services, and the provision of travel, entertainment, or tangible gifts.

G. Knowledge of Work to be Done

By submitting a SOQ, Proposer shall be held to have carefully read this RFSQ, all attachments, and exhibits, satisfied themselves before the delivery of their SOQ as to their ability to meet all of the requirements and difficulties attending the execution of the proposed work; and agreed that if awarded a contract, no claim will be made against the County based on this RFSQ, including, without limitation, claims based on any ambiguity or misunderstanding. Furthermore, the Proposer has carefully examined the location(s) of the proposed work, and is familiar with all of the physical and climatic conditions, and makes this SOQ solely upon the Proposer's own knowledge. The Proposer has carefully examined these specifications and requirements, both in general and in detail, any drawings attached, and any additional communications sent and makes their SOQ in accordance therewith. If Proposer's SOQ is accepted, the Proposer will enter into a written contract with the County for the performance of the proposed work. Payment for work will be based on the prices which will be provided using Form PW-2, Schedule of Prices, to be submitted in bidding, for each job as full compensation for work performed

H. Notice to Proposers Regarding the Public Records Act

1. All responses to this solicitation shall become the exclusive property of the County. Absent extraordinary circumstances, at such time as (a) with respect to the recommended Proposer's proposal and corresponding Public Works evaluation documents, Public Works completes contract negotiations and obtains a letter from an authorized officer of the recommended Proposer that the negotiated contract is a firm offer of the

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recommended Proposer, which shall not be revoked by the recommended Proposer pending the Department's completion of the process under Board Policy No. 5.055 and approval by the Board of Supervisors (Board) and (b) with respect to each Proposer requesting a County Review Panel, the County Review Panel convenes as a result of such Proposers' request, and (c) with respect to all other Proposers, Public Works recommends the recommended Proposer(s) to the Board and such recommendation appears on the Board agenda, proposals submitted in response to this solicitation and corresponding Public Works evaluation documents become a matter of public record, with the exception of those parts of each proposal which are justifiably defined as business or trade secrets, and, if by the proposer, plainly marked as "Trade Secret," "Confidential," or "Proprietary "

- 2 The County shall not, in any way, be liable or responsible for the disclosure of any such record or any parts thereof, if disclosure is required or permitted under the California Public Records Act or otherwise by law. A blanket statement of confidentiality or the marking of each page of the proposal as confidential shall not be deemed sufficient notice of exception. The proposers must specifically label only those provisions of their respective proposal which are "Trade Secret," "Confidential," or "Proprietary" in nature.
3. In the event County is required to defend an action on a Public Records Act request for any of the aforementioned documents, information, books, records, and/or contents of a proposal marked "trade secret," "confidential," or "proprietary," Proposer agrees to defend and indemnify County from all costs and expenses, including reasonable attorney's fees, in connection with any requested action or liability arising under the Public Records Act.

#### Notice to Proposers Regarding the County Lobbyist Ordinance

The Board has enacted an ordinance regulating the activities of persons who lobby County officials. This ordinance, referred to as the "Lobbyist Ordinance," defines a County Lobbyist and imposes certain registration requirements upon individuals meeting the definition. The complete text of the ordinance can be found in Los Angeles County Code Chapter 2.160. In effect, each person, corporation, or other entity that seeks a County permit, license, franchise, or contract must certify compliance with the ordinance. As part of this solicitation process, it will be the responsibility of each proposer to review the ordinance independently as the text of the ordinance is not contained in this RFSQ. Each person, corporation, or other entity submitting a response to this solicitation, must certify that each County Lobbyist, as defined by Los Angeles County Code Section 2 160 010, retained by the Proposer is in full compliance with Chapter 2.160 of the Los Angeles County Code and each County Lobbyist is **not** on the Executive Office's List of Terminated Registered Lobbyist. The Proposer's signature on the SOQ submission is its

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certification that it is in full compliance with Los Angeles County Code Chapter 2 160 See Attachment 3 regarding County Lobbyist.

J Opening of Statement of Qualifications

Statement of Qualifications will not be publicly opened.

K. Proposer Debarment

- 1 The Proposer is hereby notified that, in accordance with Chapter 2.202 of the Los Angeles County Code, the County may debar the Proposer from bidding or proposing on, or being awarded, and/or performing work on other County contracts for a specified period of time, which generally will not exceed five years but may exceed five years or be permanent if warranted by the circumstance, and the County may terminate any or all of the Proposer's existing contracts with County, if the Board finds, in its discretion, that the Proposer has done any of the following: (1) violated a term of a contract with the County or a nonprofit corporation created by the County; (2) committed an act or omission which negatively reflects on the Proposer's quality, fitness, or capacity to perform a contract with the County or any other public entity, or a nonprofit corporation created by the County or engaged in a pattern or practice which negatively reflects on same; (3) committed an act or offense which indicates a lack of business integrity or business honesty; or (4) made or submitted a false claim against the County or any other public entity.
- 2 If there is evidence that the qualified Proposer may be subject to debarment, Public Works will notify the Proposer in writing of the evidence, which is the basis for the proposed debarment, and will advise the Proposer of the scheduled date for a debarment hearing before the Contractor Hearing Board.
3. The Contractor Hearing Board will conduct a hearing where evidence on the proposed debarment is presented. The Proposer and/or the Proposer's representative shall be given an opportunity to submit evidence at that hearing. After the hearing, the Contractor Hearing Board will prepare a tentative proposed decision, which will contain a recommendation regarding whether the Proposer should be debarred, and, if so, the appropriate length of time of the debarment. The Proposer and Public Works shall be provided an opportunity to object to the tentative proposed decision prior to its presentation to the Board.
4. After consideration of any objections, or if no objections are received, a record of the hearing, the proposed decision, and any other recommendation of the Contractor Hearing Board shall be presented to the Board. The Board shall have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.

- 5 If a Proposer has been debarred for a period longer than five years, that Proposer may, after the debarment has been in effect for at least five years, submit a written request for review of the debarment determination to reduce the period of debarment or terminate the debarment. The County may, in its discretion, reduce the period of debarment or terminate the debarment if it finds that the Proposer has adequately demonstrated one or more of the following: (1) elimination of the grounds for which the debarment was imposed; (2) a bona fide change in ownership or management; (3) material evidence discovered after debarment was imposed, or (4) any other reason that is in the best interests of the County
6. The Contractor Hearing Board will consider requests for review of a debarment determination only where (1) the Proposer has been debarred for a period longer than five years; (2) the debarment has been in effect for at least five years; and (3) the request is in writing, states one or more of the grounds for reduction of the debarment period or termination of the debarment and includes supporting documentation. Upon receiving an appropriate request, the Contractor Hearing Board will provide notice of the hearing on the request. At the hearing, the Contractor Hearing Board shall conduct a hearing where evidence on the proposed reduction of debarment period or termination of debarment is presented. This hearing shall be conducted and the request for review decided by the Contractor Hearing Board pursuant to the same procedure as for a debarment hearing.
- 7 The Contractor Hearing Board's proposed decision will contain a recommendation on the request to reduce the period of debarment or terminate the debarment. The Contractor Hearing Board shall present its proposed decision and recommendation to the Board. The Board will have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board
8. These terms shall also apply to proposed subcontractors of Proposer on County contracts.
- 9 Attachment 2 is a listing of contractors currently debarred.

L. Proposal Prices and Agreement of Figures

If the total amount arrived at by multiplying the unit price times the quantity does not agree with the total amount entered for the item or if the total amount is not entered, the unit price and the corrected total amount will be considered as representing the Proposer's intentions. If the total amount is entered for the item, but not the unit price, the unit price will be that which is derived by dividing the total amount proposed for the item by the number of units in the item as representing the Proposer's intentions. If the items are incorrectly calculated, the corrected total will be considered as representing the Proposer's intentions.

M Proposer's Safety Record

A review of the Proposer's safety record will be made before the award. Proposers are required to submit this information, with their SOQ, on Form PW-4, Contractor's Industrial Safety Record form provided. Nonsubmission or an adverse finding as to the Proposer's safety record may be cause for rejection of the SOQ on the basis of nonresponsibility and/or nonresponsiveness.

N. Qualification of Proposer

No award will be made to any proposer who cannot give satisfactory assurance as to its ability to carry out the intended contract, based on experience as a contractor on work of the nature contemplated in the proposed contract. Proposers are encouraged to submit records of work of similar nature, size, or extent to that proposed under these specifications and requirements. A reasonable inquiry to determine the responsibility of a Proposer will be conducted. The unreasonable failure of a Proposer to promptly supply information in connection with such inquiry, including, but not limited to, information regarding past performance, and ability to perform on schedule, may be grounds for a determination of nonresponsibility and/or nonresponsiveness with respect to such Proposer. Unfamiliarity with the type of work required by Public Works may be cause for rejection of the SOQ on the basis of nonresponsibility and/or nonresponsiveness.

O Qualifications of Subcontractors

Proposers shall list all subcontractors to be used on the List of Subcontractors (Form PW-8). The use of subcontractors shall be subject to Public Works' approval. Subcontractors shall be properly licensed under the laws of the State of California for the type of work, which they are to perform. Alternate subcontractors shall not be listed for the same work.

P Safely Surrendered Baby Law

The Proposer shall notify and provide to its employees, and shall require each subcontractor to notify and provide to its employees, a fact sheet regarding the Safely Surrendered Baby Law, its implementation in Los Angeles County, and where and how to safely surrender a baby. The fact sheet is set forth in Part II, Exhibit D of this solicitation document and is also available on the Internet at [www.babysafela.org](http://www.babysafela.org) for printing purposes.

Q. Term of Statement of Qualifications

All SOQs shall be firm offers and may not be withdrawn for a period of 360 days following the deadline for submission of SOQs.

R. Truth and Accuracy of Representations

False, misleading, incomplete, or deceptively unresponsive statements in connection with a SOQ will be sufficient cause for the rejection of the SOQ. The evaluation and determination in this area will be at the Director's sole judgment and the Director's judgment will be final.

S. Wages, Materials, and Other Costs

It is the responsibility of the Proposer to calculate the bid price to take into consideration a possible escalation of wages, materials, and other costs during the work period. The Board, County, Public Works, District(s), or Director make no representations regarding future costs or the rate of wages that may become necessary to pay employees of the contractor for the work performed during the contract period.

T. Withdrawal of Statement of Qualifications

Proposers may withdraw their SOQ anytime before the date and hour set for submission set forth in the Notice for Request for SOQs upon presentation of a written request to the Director signed by an authorized representative of the Proposer or by the person filing the SOQ.

## SECTION 4

### EVALUATION OF STATEMENT OF QUALIFICATIONS; AWARD AND EXECUTION OF CONTRACT

#### A. Award of Contract

Subject to the right of the Board to make the ultimate decisions concerning the award of contracts, the County intends to award a contract to the qualified Proposer or Proposers based on the evaluation criteria in Part I, Section 4 C, Evaluation of Statement of Qualifications, whose Statement of Qualification(s) provide(s) the most beneficial program, with all other factors considered. The County will award contracts to qualified proposers whose SOQs are determined to be qualified based on the evaluation criteria in Part I, Section 4 C, Evaluation of Statement of Qualifications. The County retains the right to select Proposers, that are overall qualified, responsive, responsible, and in the best interest of the County. The awardee shall sign and return the agreement within 14 calendar days of its mailing to the awardee for signature by Public Works. The awardee shall submit copies of its proof of insurance coverage, within 14 days after Board approval of the proposed contract or at least 14 days prior to the proposed contract's start date, whichever occurs last. Work under the proposed contract cannot begin before proof of valid insurance coverage is submitted to Public Works.

#### B. Final Contract Award by Board

Notwithstanding a recommendation by Public Works and/or the Chief Executive Office, the Board retains the right to exercise its judgment concerning the selection of a SOQ, the terms of any resultant agreement, and to determine which SOQ best serves the interests of the County. The Board is the ultimate decision-making body and makes the final determinations necessary to arrive at a decision to award, or not award, a contract.

#### C. Evaluation of Statement of Qualifications

1. All responses to this RFSQ become the property of the County. Upon evaluation of SOQs, in accordance with the evaluation criteria set forth below, Public Works may recommend the award of a contract to one or more of those submitting SOQs. The proposed Contract may be submitted to the Director or Board for consideration and possible approval.
2. The County may require whatever evidence it deems necessary relative to the Proposer's financial stability.
3. The County reserves the sole right to judge the Proposer's written and oral representations.
4. The County may make on-site inspections of Proposer's current jobs.

5. The County, in its sole discretions, may elect to waive any error or informality in a SOQ, if the sum and substance of the SOQ is present.
6. The County may utilize the services of appropriate experts to assist in the evaluation process.
7. The County reserves the sole right to judge the Proposer's written and oral representations and to review, evaluate, and select the successful SOQ(s)
8. The County may make on-site inspections of Proposer's current jobs and/or facilities.
9. Significant unacceptable weakness in quality and quantity of references, experience, safety record, equipment, and quality assurance program of the Proposer and any subcontractor, may result in rejection of the SOQ as nonresponsive.

**D Pass/Fail Review**

Proposals will be reviewed on a Pass/Fail basis concerning the items listed below. Proposals not meeting all of these requirements may be rejected as nonresponsive:

1. Proposer will comply with the insurance requirements, outlined in Exhibit B, Section 5, Indemnification and Insurance Requirements, as evidenced by submitting a completed and signed Form PW-16.
2. Proposer and any subcontractors have met the GAIN and GROW Programs requirements (Form PW-10) and have completed and submitted the Charitable Contributions Certification (Form PW-12).
3. Proposer and any subcontractors have submitted the Jury Service Program Application for Exception and Certification Form (Form PW-3) stating that they accept and will comply with the program requirements or establish their entitlement to an exception to the program.
4. Proposer and subcontractors, if any, have completed and signed all appropriate forms.
5. Proposer complies with all requirements as outlined in Part I, Section 2, Statement of Qualifications Preparation and Submission.
6. Proposer and subcontractors, if any, has submitted appropriate state license(s) and certification(s) required to perform the service. Proposer and subcontractors, if any, must have a valid and active California-issued Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license at the time of submission. To qualify for water well drilling

service, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is required

**Proposers who do not possess and/or have listed subcontractors who do not possess the required licenses at the SOQ deadline date will be disqualified as nonresponsive.**

- 7 Statement of Qualifications was time stamped by the Cashier prior to the deadline for submission of the SOQ.

8. Experience and Safety Record

The evaluators will review the quality and quantity of experience of the Proposer, its key personnel, and subcontractors in providing the requested services to organizations. The evaluators may consider the Proposer's description of its capabilities, resumes of key personnel (Part I, Section 2.A.5), and any other relevant information, including, but not limited to, pending litigation and judgments.

The evaluators will also consider the safety record of the Proposer and any subcontractors Safety Records/Citation History from Federal OSHA and Cal/OSHA reflecting that they have provided services in a safe manner Significant amount of injuries, fatalities, and/or Federal OSHA and Cal/OSHA citations may result in rejection of the SOQ as nonresponsive.

- 9 References

Public Works will check at least three of the Proposer's references for overall satisfaction with Proposer's services, with priority given to services provided to County departments. Proposer's references for all contracts with the County during the previous three years must be listed on Form PW-6, Proposer's Reference List. Public Works reserves the right to utilize any reference of Proposer, County or other, listed or not listed. In addition to the references provided, the review will include the County's Contract Database, if applicable, reflecting past performance history on County contracts, and an evaluation of any terminated contract(s) reported on Form PW-14, Statement of Terminated Contracts. Additionally, a Proposer's unacceptable performance on another County contract(s), as documented by either the County's Contract Database or by an unfavorable reference, may result in rejection of the SOQ as nonresponsive.

References may be contacted by telephone, facsimile, mail, express delivery, or e-mail. It is the Proposer's responsibility to ensure that accurate and timely contact information is included in the SOQ. Public Works will ordinarily not make repeated attempts to contact references and will ordinarily not contact the Proposer to correct bad phone numbers, etc. It is the Proposer's responsibility to ensure that its references respond promptly to Public Works' requests for information.

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10. Equipment

The evaluators will review the adequacy of the Proposer's equipment to meet and perform in a timely manner all of the requirements set forth in Exhibit A, Scope of Work.

A review of the Proposer's equipment to be used to perform the work, as listed on the Statement of Equipment Form (Form PW-17), will be made. List vehicles separate from other equipment. An adverse finding as to the equipment to be used may be sufficient cause for rejection of the SOQ. Public Works reserves the right to conduct on-site inspections of equipment listed on this form.

The Proposer's equipment will be reviewed based on the following criteria, but is not limited to, the type and quantity of equipment within the organization's fleet, type and quantity of equipment dedicated to the service, date of manufacture/purchase, up-to-date maintenance and service records.

11 Work Plan

**FAILURE TO PREPARE AND INCLUDE A WORK PLAN MAY RESULT IN DISQUALIFICATION OF THE PROPOSAL.**

Describe comprehensively and in detail how the service will be performed to meet or exceed the requirements of Exhibit A, Scope of Work. Prepare and include a staffing plan that specifically describes the number of staff who will be committed to the project and their qualifications. If possible, list them by name. Describe and include the schedules, procedures, techniques, and methods that will be employed in meeting the objectives outlined in the Scope of Work. These may include personnel management, training, subcontracting, emergency and contingency planning, recruitment and replacement, supervision, supplies, uniforms, identification badges, safety, communications, and quality control.

12. Quality Assurance Program

Proposer shall describe its Quality Assurance Program (Program) that will be utilized by the Proposer as a self-monitoring tool to ensure that these services are performed in accordance with the County's contract requirements and recommendations. The Program must ensure service deliveries outlined in Exhibit A, Scope of Work, are completed in a timely manner, the services will be free of defects, and how those results will be achieved. The Program must comprehensively address the Proposer's organizational process for consistently delivering those requirements. At a minimum, the Program outlined in your proposal shall address in detail:

- a. Policies and Procedures – Quality control procedures for the

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Proposer, subcontractors, and suppliers must be described. The Proposer's staffing plan must include a qualified inspector to monitor compliance with the Program and deal with customer complaints and inquiries. If a subcontractor is to perform work, the Program must detail how that subcontractor will interface with the Proposer and how the Proposer will ensure that the subcontractor complies with the Program.

- b. Inspection Fundamentals – The Proposer shall provide samples of forms that outline required operations and quality levels. The Proposal must indicate the Proposer's inspection schedules, a methodology to correct deficiencies, level of supervision, and how the inspections are to be performed. The Proposal shall document the name, authority, relevant experience, and qualifications of the person with overall responsibility for the inspection system.
- c. Quality Control Documentation, Review, and Reporting – The Program shall describe and list the records to be maintained. The Program shall detail how the Proposer will maintain inspection records and make them available to the County.

13. **Optional Interview/Clarification**

The County may, at its option, invite one or more Proposers to make a written or verbal clarification, presentation, and/or participate in an interview before a final selection is made. Evaluation criteria for any additional information provided is the same as that for written Proposals. A separate score will not be given for a presentation or interview, but the Proposer's performance may be considered as part of the overall evaluation. The evaluators may, in their sole discretion, limit the offer to give a presentation or interview, if any, to the two or more Proposers who receive the highest scores in a preliminary scoring of Proposals in accordance with the evaluation criteria set forth in this Part I, Section 4 E, Evaluation Criteria.

14. **Additional Criteria**

These criteria are not exclusive. The County reserves the right to apply additional evaluation criteria.

D. **Negotiation**

The County reserves the right to negotiate the terms, conditions, and price of the Proposal(s), in the sole discretion of the County, to achieve the most beneficial program and price for the County. The County, in its sole discretion, may limit the negotiation, if any, to one or more responsive and responsible Proposers in

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accordance with the evaluation criteria set forth in this Part I, Section 4.E, Evaluation Criteria. The negotiation with the Proposers will not result in a change in the rating of the Proposers. If a satisfactory contract cannot be negotiated, the County may, at its sole discretion, begin contract negotiations with the next highest-rated Proposer who submitted a proposal, as determined by the County

## SECTION 5

### PROTEST POLICY

#### A. Protest Policy Review Process

1. Under Board Policy No. 5.055 (Services Contract Solicitation Protest), any prospective Proposer may request a review of the requirements under a solicitation for a Board-approved services Contract, as described in Paragraph C, Solicitation Requirements Review, below. Additionally, any Proposer may request a review of a disqualification or of a proposed Contract award under such a solicitation, as described, respectively, in Paragraphs E and F, Disqualification Review and Proposed Contractor Selection Review, respectively, below. Additionally, any Proposer may obtain copies of proposals and Public Works evaluation documents as provided in Part I, Section 3, Paragraph H. Under any such review, it is the responsibility of the Proposer challenging the decision of Public Works to demonstrate that Public Works committed a sufficiently material error in the solicitation process to justify invalidation of a solicitation or a proposed Contract award as the case may be.
2. Throughout the review process, the County has no obligation to delay or otherwise postpone an award of Contract based on a Proposer protest. In all cases, the County reserves the right to make an award when it is determined to be in the best interest of the County of Los Angeles to do so.

#### B. Grounds for Review

Unless State or Federal statutes or regulations otherwise provide, the grounds for review of a solicitation for Board-approved services Contract provided for under Board Policy No. 5.055 (Services Contract Solicitation Protest) are limited to the following:

- Review of the Solicitation Requirements
- Review of a Disqualified Bid/Proposal
- Review of the Proposed Contractor Selection

#### C. Solicitation Requirements Review

Any person or entity may seek a Solicitation Requirements Review by submitting a written request for review to Public Works conducting the solicitation as described in this Paragraph. A Request for a Solicitation Requirements Review may be denied, in Public Works' sole discretion, if the request does not satisfy all of the following criteria.

1. The request for a Solicitation Requirements Review is made within ten (10) business days of the issuance of the solicitation document;
2. The request for a Solicitation Requirements Review includes documentation, which demonstrates the underlying ability of the person or entity to submit a proposal.
3. The request for a Solicitation Requirements Review itemizes in appropriate detail, each matter contested and factual reasons for the requested review; and
4. The request for a Solicitation Requirements Review asserts either that:
  - a. Application of the minimum requirements, evaluation criteria and/or business requirements unfairly disadvantages the person or entity; or,
  - b. Due to unclear instructions, the process may result in the County not receiving the best possible responses from prospective Proposers.
5. The Solicitation Requirements Review will be completed and Public Works' determination will be provided to the requesting person or entity, in writing, within a reasonable time prior to the bid/proposal due date.

**D. Place to Submit Requests for Review**

All Requests for Review shall be submitted to the Contract Analyst.

**E. Disqualification Review**

1. A bid/proposal may be disqualified from consideration because Public Works determined it was nonresponsive at any time during the review/evaluation process. If Public Works determines that a bid/proposal is disqualified due to nonresponsiveness, Public Works shall notify the Proposer in writing.
2. Upon receipt of the written determination of nonresponsiveness, the Proposer may submit a written request for a Disqualification Review within the timeframe specified in the written determination.
3. A request for a Disqualification Review may, in Public Works' sole discretion, be denied if the request does not satisfy all of the following criteria:
  - a. The person or entity requesting a Disqualification Review is a Proposer;
  - b. The request for a Disqualification Review is submitted timely (i.e., by the date and time specified in the written determination); and
  - c. The request for a Disqualification Review asserts that the determination of disqualification due to bid/proposal

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nonresponsiveness was erroneous (e.g. factual errors, etc.) and provides factual support on each ground asserted as well as copies of all documents and other material that support the assertions.

4. The Disqualification Review shall be completed and the determination shall be provided to the requesting Proposer, in writing, prior to the conclusion of the evaluation process.

F Debriefing Process

For solicitations where proposals are evaluated and scored in accordance to Section 4, Evaluation of Statement of Qualifications, Award and Extension of Contract, the following provisions shall apply:

1. Upon completion of the evaluation, Public Works will notify the remaining Proposers in writing that Public Works is entering negotiations with another Proposer. Upon receipt of the letter, any nonselected Proposer may submit a written request for a Debriefing within the timeframe specified in the letter. A request for a Debriefing may, in Public Works' sole discretion, be denied if the request is not received within the specified timeframe.
2. The purpose of the Debriefing is to compare the requesting Proposer's response to the solicitation document with the evaluation document. The requesting Proposer shall be debriefed only on its response. Because Contract negotiations are not yet complete, responses from other Proposers shall not be discussed, although Public Works may inform the requesting Proposer of its relative ranking.
3. During or following the Debriefing, Public Works will instruct the requesting Proposer of the manner and timeframe in which the requesting Proposer must notify Public Works of its intent to request a Proposed Contractor Selection Review, below, if the requesting Proposer is not satisfied with the results of the Debriefing.

G. Proposed Contractor Selection Review

Any Proposer that has timely submitted a notice of its intent to request a Proposed Contractor Selection Review as described in Paragraph F, above, may submit a written request for a Proposed Contractor Selection Review in the manner and timeframe as specified by Public Works. For low-bid solicitations, where applicable, upon selection of the lowest-cost, responsive, and responsible bidder, Public Works will notify the remaining bidders in writing that Public Works is entering negotiations with another bidder. Public Works will instruct the remaining bidders of the manner and timeframe in which each remaining bidder must notify Public Works of its intent to request a Proposed Contractor Selection Review, should such remaining bidder desire to have such a review performed.

A request for a Proposed Contractor Selection Review may, in Public Works' sole discretion, be denied if the request does not satisfy all of the following criteria:

1. The person or entity requesting a Proposed Contractor Selection Review is a Proposer;
2. The request for a Proposed Contractor Selection Review is submitted timely (i.e., by the date and time specified by Public Works)
3. The person or entity requesting a Proposed Contractor Selection Review asserts in appropriate detail with factual reasons one or more of the following grounds for review:
  - a. Public Works materially failed to follow procedures specified in its solicitation document. This includes:
    - i. Failure to correctly apply the standards for reviewing the proposal format requirements.
    - ii. Failure to correctly apply the standards, and/or follow the prescribed methods, for evaluating the proposals as specified in the solicitation document.
    - iii. Use of evaluation criteria that were different from the evaluation criteria disclosed in the solicitation document.
  - b. Public Works made identifiable mathematical or other errors in evaluating bids/proposals, resulting in the Proposer receiving an incorrect score and not being selected as the recommended Contractor.
  - c. For applicable solicitations where responses are evaluated and scored, a member of the Evaluation Committee demonstrated bias in the conduct of the evaluation
  - d. Another basis for review as provided by State or Federal law; and
4. The request for a Proposed Contractor Selection Review sets forth sufficient detail to demonstrate that, but for Public Works' alleged failure, the Proposer would have been the lowest-cost, responsive, and responsible bid or the highest-scored proposal, as the case may be.

Upon completing the Proposed Contractor Selection Review, Public Works representative shall issue a written decision to the Proposer within a reasonable time following receipt of the request for a Proposed Contractor Selection Review, and always before the date the Contract award recommendation is to be heard by the Board. The written decision shall

additionally instruct the Proposer of the manner and timeframe for requesting a review by a County Review Panel, Paragraph H, below

**H     County Review Panel**

1. Any Proposer that is not satisfied with the results of the Proposed Contractor Selection Review may submit a written request for review by a County Review Panel in the manner and timeframe specified by Public Works in Public Works' written decision regarding the Proposed Contractor Selection Review
2. A request for review by a County Review Panel may, in the County's sole discretion, be denied if the request does not satisfy all of the following criteria:
  - a. The person or entity requesting review by a County Review Panel is a Proposer;
  - b. The request for a review by a County Review Panel is submitted timely (i.e., by the date and time specified by Public Works); and
  - c. The person or entity requesting review by a County Review Panel has limited the request to items raised in the Proposed Contractor Selection Review and new items that (a) arise from Public Works' written decision and (b) are on of the appropriate grounds for requesting a Proposed Contractor Selection Review as listed in Paragraph G above.
3. Upon completion of the County Review Panel's review, the Panel will forward its report to Public Works, which will provide a copy to the Proposer

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## ATTACHMENTS

- 1 COUNTY OF LOS ANGELES POLICY ON DOING BUSINESS WITH SMALL  
BUSINESS
2. DEBARRED VENDORS REPORT
- 3 COUNTY OF LOS ANGELES LOBBYIST ORDINANCE

## VERIFICATION OF PROPOSAL

<b>DATE:</b> _____, 200__		<b>THE UNDERSIGNED HEREBY DECLARES AS FOLLOWS:</b>	
1. THIS DECLARATION IS GIVEN IN SUPPORT OF A PROPOSAL FOR A CONTRACT WITH THE COUNTY OF LOS ANGELES.			
2. NAME OF SERVICE: _____			
<b>DECLARANT INFORMATION</b>			
3. NAME OF DECLARANT: _____			
4. I AM DULY VESTED WITH THE AUTHORITY TO MAKE AND SIGN INSTRUMENTS FOR AND ON BEHALF OF THE PROPOSER(S).			
5. MY TITLE, CAPACITY, OR RELATIONSHIP TO THE PROPOSER(S) IS: _____			
<b>PROPOSER INFORMATION</b>			
6. Proposer's full legal name: _____		Telephone No.: _____	
Address: _____		Fax No.: _____	
e-mail: _____	County WebVen No.: _____	IRS No.: _____	Business License No.: _____
7. Proposer's fictitious business name(s) or dba(s) (if any): _____			
County(s) of Registration: _____		State: _____	Year(s) became DBA: _____
8. The Proposer's form of business entity is (CHECK ONLY ONE):			
Sole proprietor		Name of Proprietor: _____	
A corporation:		Corporation's principal place of business: _____	
		State of incorporation: _____ Year incorporated: _____	
Non-profit corporation certified under IRS 501(c) 3 and registered with the CA Attorney General's Registry of Charitable Trusts		President/CEO: _____	
		Secretary: _____	
A general partnership:		Names of partners: _____	
A limited partnership:		Name of general partner: _____	
A joint venture of:		Names of joint venturers: _____	
A limited liability company:		Name of managing member: _____	
9. The only persons or firms interested in this proposal as principals are the following:			
Name(s)	Title	Phone	Fax
Street	City	State	Zip
Name(s)	Title	Phone	Fax
Street	City	State	Zip
10. Is your firm wholly or majority owned by, or a subsidiary of another firm?    No    Yes			
If yes, name of parent firm: _____			
State of incorporation/registration of parent firm: _____			
11. Has your firm done business under any other name(s) within the last five years?    No    Yes    If yes, please list the other name(s):			
Name(s): _____		Year of name change: _____	
Name(s): _____		Year of name change: _____	
12. Is your firm involved in any pending acquisition or merger?    No    Yes			
If yes, indicate the associated company's name: _____			
13. Proposer acknowledges that if any false, misleading, incomplete, or deceptively unresponsive statements in connection with this proposal are made, the proposal may be rejected. The evaluation and determination in this area shall be at the Director's sole judgment and the Director's judgment shall be final.			
14. CHECK ONE:			
(a) I am making these representations and all representation contained in this proposal on my personal knowledge;			
OR			
(b) I am making these representations all representation contained in this proposal based on information and belief that they are true.			
I declare under penalty of perjury under the laws of California that is true and correct.			
Signature of Proposer or Authorized Agent: _____			Date: _____
Type name and title: _____			
County of Los Angeles Vendor Identification Number: _____			

DO NOT COMPLETE

FORM PW-2

Local Assistance Procedures Manual

EXHIBIT 10-H  
Sample Cost Proposal

Exhibit 10-H Sample Cost Proposal

**SAMPLE COST PROPOSAL (EXAMPLE #1)/**  
**SCHEDULE OF PRICES**

Contract No. \_\_\_\_\_

Date \_\_\_\_\_

Consultant \_\_\_\_\_

**DIRECT LABOR**

Classification	Name	Range	Hours	Initial Hourly Rate	Total
			@		\$
Project Manager			@		\$
Highway Engineer			@		\$
			@		\$
Bridge Engineer			@		\$
			@		\$
Technician			@		\$
Project Manager			@		\$
			@		\$
			@		\$
			@		\$

Subtotal Direct Labor Costs \$ \_\_\_\_\_  
Anticipated Salary Increases \$ \_\_\_\_\_  
Total Direct Labor Costs \$ \_\_\_\_\_

**Fringe Benefits**

Rate \_\_\_\_\_ % Total \$ \_\_\_\_\_  
Total Fringe Benefits \$ \_\_\_\_\_

**Indirect Costs**

Overhead

General and Administrative

\_\_\_\_\_ % \$ \_\_\_\_\_  
\_\_\_\_\_ % \$ \_\_\_\_\_  
Total Indirect Costs \$ \_\_\_\_\_

**FEE (Profit)**

**OTHER COSTS**

Travel Costs

Equipment and Supplies (Itemize)

Other Direct Costs (Itemize)

\$ \_\_\_\_\_  
\$ \_\_\_\_\_  
\$ \_\_\_\_\_  
Total Other Costs \$ \_\_\_\_\_

Subcontractor Costs (attach detailed cost estimate for each subcontractor)

\$ \_\_\_\_\_  
\$ \_\_\_\_\_

**TOTAL COST**



**COUNTY OF LOS ANGELES CONTRACTOR EMPLOYEE JURY SERVICE PROGRAM  
APPLICATION FOR EXCEPTION AND CERTIFICATION FORM**

This contract is subject to the County of Los Angeles Contractor Employee Jury Service Program (Program) (Los Angeles County Code, Chapter 2.203). All contractors and subcontractors must complete this form to either (1) request an exception from the Program requirements or (2) certify compliance. Upon review of the submitted form, the County department will determine, in its sole discretion, whether the bidder or proposer is excepted from the Program.

Company Name:		
Company Address:	State:	Zip Code:
City:		
Telephone Number:		
(Type of Goods or Services):		

**If you believe the Jury Service Program does not apply to your business, check the appropriate box in Part I (you must attach documentation to support your claim). If the Jury Service Program applies to your business, complete Part II to certify compliance with the Program. Whether you complete Part I or Part II, sign and date this form.**

**Part I: Jury Service Program Is Not Applicable to My Business**

- ☐ My business does not meet the definition of "contractor," as defined in the Program as it has not received an aggregate sum of \$50,000 or more in any 12-month period under one or more County contracts or subcontracts (this exception is not available if the contract/purchase order itself will exceed \$50,000). I understand that the exception will be lost and I must comply with the Program if my revenues from the County exceed an aggregate sum of \$50,000 in any 12-month period.

- ☐ My business is a small business as defined in the Program. It 1) has ten or fewer employees; and, 2) has annual gross revenues in the preceding twelve months which, if added to the annual amount of this contract, are \$500,000 or less; and, 3) is not an affiliate or subsidiary of a business dominant in its field of operation, as defined below. I understand that the exemption will be lost and I must comply with the Program if the number of employees in my business and my gross annual revenues exceed the above limits.

"Dominant in its field of operation" means having more than ten employees, including full-time and part-time employees, and annual gross revenues in the preceding twelve months, which, if added to the annual amount of the contract awarded, exceed \$500,000.

"Affiliate or subsidiary of a business dominant in its field of operation" means a business which is at least 20 percent owned by a business dominant in its field of operation, or by partners, officers, directors, majority stockholders, or their equivalent, of a business dominant in that field of operation.

- ☐ My business is subject to a Collective Bargaining Agreement that expressly provides that it supersedes all provisions of the Program. **ATTACH THE AGREEMENT.**

**Part II: Certification of Compliance**

- ☐ My business has and adheres to a written policy that provides, on an annual basis, no less than five days of regular pay for actual jury service for full-time employees of the business who are also California residents, or my company will have and adhere to such a policy prior to award of the contract.

**I declare under penalty of perjury under the laws of the State of California that the information stated above is true and correct.**

Print Name:	Title:
Signature:	Date:

## CONTRACTOR'S INDUSTRIAL SAFETY RECORD

PROPOSED CONTRACT FOR: \_\_\_\_\_

SERVICE BY PROPOSER \_\_\_\_\_

PROPOSAL DATE: \_\_\_\_\_

This information must include all work undertaken in the State of California by the proposer and any partnership, joint venture, or corporation that any principal of the proposer participated in as a principal or owner for the last five calendar years and the current calendar year prior to the date of proposal submittal. Separate information shall be submitted for each particular partnership, joint venture, corporate, or individual proposer. The proposer may attach any additional information or explanation of date which the proposer would like taken into consideration in evaluating the safety record. An explanation must be attached to the circumstances surrounding any and all fatalities.

## 5 CALENDAR YEARS PRIOR TO CURRENT YEAR

	2004	2005	2006	2007	2008	Total	Current Year to Date
1 Number of contracts.							
2 Total dollar amount of Contracts (in thousands of dollars)							
3. Number of fatalities.							
4. Number of lost workday cases.							
5. Number of lost workday cases involving permanent transfer to another job or termination of employment.							
6 Number of lost workdays.							

The above information was compiled from the records that are available to me at this time, and I declare under penalty of perjury that the information is true and accurate within the limitations of those records.

Name of Proposer or Authorized Agent (print) \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## CONFLICT OF INTEREST CERTIFICATION

I, \_\_\_\_\_

- ☐ sole owner  
☐ general partner  
☐ managing member  
☐ President, Secretary, or other proper title) \_\_\_\_\_

of \_\_\_\_\_

Name of proposer

make this certification in support of a proposal for a contract with the County of Los Angeles for services within the scope of Los Angeles County Code Section 2 180.010, which provides as follows:

**Contracts Prohibited.** A. Notwithstanding any other section of this code, the county shall not contract with, and shall reject any bid or proposal submitted by, the persons or entities specified below, unless the board of supervisors finds that special circumstances exist which justify the approval of such contract.

- 1 Employees of the county or of public agencies for which the board of supervisors is the governing body;
2. Profit-making firms or businesses in which employees described in subdivision 1 of subsection A serve as officers, principals, partners, or major shareholders,
3. Persons who, within the immediately preceding 12 months, came within the provisions of subdivision 1 of subsection A, and who:
  - (a) Were employed in positions of substantial responsibility in the area of service to be performed by the contract; or
  - (b) Participated in any way in developing the contract of its service specifications; and
4. Profit-making firms or businesses in which the former employees described in subdivision 3 of subsection A, serve as officers, principals, partners, or major shareholders.

I hereby certify I am informed and believe that personnel who developed and/or participated in the preparation of this contract do not fall within scope of the Los Angeles County Code Section 2 180.010 as cited above. Furthermore, that no County employee whose position in the County enables him/her to influence the award of this contract, or any competing contract, and no spouse or economic dependent of such employee is or shall be employed in any capacity by the Contractor herein, or has or shall have any direct or indirect financial interest in this contract. I understand and agree that any falsification in this Certificate will be grounds for rejection of this Proposal and cancellation of any contract awarded pursuant to this Proposal.

I certify under penalty of perjury under the laws of California that the foregoing is true and correct.

Signed \_\_\_\_\_

Date \_\_\_\_\_

## PROPOSER'S REFERENCE LIST

## PROPOSED CONTRACT FOR: \_\_\_\_\_

Provide a comprehensive reference list of all contracts for goods and/or services provided by the Proposer during the previous three years. Please verify all contact names, telephone and fax numbers, and e-mail addresses before listing. Incorrect names, telephone and/or fax numbers, or e-mail addresses will be disregarded. Use additional pages if required.

**A. COUNTY OF LOS ANGELES AGENCIES**

**All contracts with the County during the previous three years must be listed.**

SERVICE:	SERVICE DATES:
DEPT/ DISTRICT:	
CONTACT:	
TELEPHONE:	
FAX:	
E-MAIL:	

SERVICE:	SERVICE DATES:
DEPT/DISTRICT	
CONTACT:	
TELEPHONE:	
FAX:	
E-MAIL:	

SERVICE:	SERVICE DATES:
DEPT/ DISTRICT	
CONTACT:	
TELEPHONE:	
FAX:	
E-MAIL:	

SERVICE	SERVICE DATES:
DEPT/DISTRICT	
CONTACT:	
TELEPHONE:	
FAX:	
E-MAIL:	

**B. OTHER GOVERNMENTAL AGENCIES AND PRIVATE COMPANIES**

SERVICE:	SERVICE DATES:
AGENCY/ FIRM:	
ADDRESS:	
CONTACT	
TELEPHONE:	
FAX:	
E-MAIL:	

SERVICE:	SERVICE DATES:
AGENCY/ FIRM:	
ADDRESS:	
CONTACT:	
TELEPHONE:	
FAX:	
E-MAIL	

SERVICE:	SERVICE DATES:
AGENCY/ FIRM:	
ADDRESS:	
CONTACT	
TELEPHONE:	
FAX:	
E-MAIL:	

SERVICE:	SERVICE DATES:
AGENCY/ FIRM:	
ADDRESS:	
CONTACT	
TELEPHONE:	
FAX:	
E-MAIL:	

# PROPOSER'S EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

Proposer's Name
Address
Internal Revenue Service Employer Identification Number

In accordance with Los Angeles County Code Section 4 32 010, the Proposer certifies and agrees that all persons employed by it, its affiliates, subsidiaries, or holding companies are and will be treated equally by the firm without regard to or because of race, religion, ancestry, national origin, or sex and in compliance with all anti-discrimination laws of the United States of America and the State of California.

1.	The proposer has a written policy statement prohibiting any discrimination in all phases of employment.	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.	The proposer periodically conducts a self- analysis or utilization analysis of its work force	<input type="checkbox"/> YES <input type="checkbox"/> NO
3.	The proposer has a system for determining if its employment practices are discriminatory against protected groups	<input type="checkbox"/> YES <input type="checkbox"/> NO
4.	Where problem areas are identified in employment practices, the proposer has a system for taking reasonable corrective action to include establishment of goals and timetables.	<input type="checkbox"/> YES <input type="checkbox"/> NO

Authorized representative	
Signature	Date

### LIST OF SUBCONTRACTORS

Proposer is required to complete the following. Any Subcontractors listed must be properly licensed under the laws of the State of California for the type of service that they are to perform, AND THEIR LICENSE NUMBERS MUST BE LISTED HEREIN. Failure to do so may result in delay of the award of contract. Do not list alternate subcontractors for the same service.

☐ Proposer in providing the requested services will not utilize Subcontractors. Proposer will perform all required services.

[illegible]

**County of Los Angeles**  
**Request for Local Small Business Enterprise (SBE) Preference Program Consideration and**  
**GBE Firm/Organization Information Form**

All proposers responding to the Request for Proposals must complete and return this form for proper consideration of the proposal.

FIRM NAME:

My County (WebVen) Vendor Number:

- I. **LOCAL SMALL BUSINESS ENTERPRISE PREFERENCE PROGRAM:** To the extent permitted by State and federal law and when the price category is scored, the County will give Local SBE preference during the solicitation process to businesses that meet the definition of a Local Small Business Enterprise (Local SBE), consistent with Chapter 2.204.030C.1 of the Los Angeles County Code.

☐ As Local SBE certified by the County of Los Angeles Office of Affirmative Action Compliance as of the date of this proposal/bid's submission, I request this proposal/bid be considered for the Local SBE Preference.

☐ Attached is a copy of Local SBE certification issued by the County.

- II. **FIRM/ORGANIZATION INFORMATION:** The information requested below is for statistical purposes only. On final analysis and consideration of award, contractor/vendor will be selected without regard to race/ethnicity, color, religion, sex, national origin, age, sexual orientation or disability.

**Business Structure:** ☐ Sole Proprietorship ☐ Partnership ☐ Corporation ☐ Nonprofit ☐ Franchise

☐ Other (Please Specify):

**Total Number of Employees** (including owners):

**Race/Ethnic Composition of Firm.** Please distribute the above total number of individuals into the following categories:

Race/Ethnic Composition	Owners/Partners/ Associate Partners		Managers		Staff	
	Male	Female	Male	Female	Male	Female
Black/African American						
Hispanic/Latino						
Asian or Pacific Islander						
American Indian						
Filipino						
White						

- III. **PERCENTAGE OF OWNERSHIP IN FIRM:** Please indicate by percentage (%) how ownership of the firm is distributed.

	Black/African American	Hispanic/ Latino	Asian or Pacific Islander	American Indian	Filipino	White
Men	%	%	%	%	%	%
Women	%	%	%	%	%	%

- IV. **CERTIFICATION AS MINORITY, WOMEN, DISADVANTAGED, AND DISABLED VETERAN BUSINESS ENTERPRISES:** If your firm is currently certified as a minority, women, disadvantaged or disabled veteran owned business enterprise by a public agency, complete the following and attach a copy of your proof of certification. (Use back of form, if necessary.)

Agency Name	Minority	Women	Disadvantaged	Disabled Veteran	Expiration Date

- V. **DECLARATION:** I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE ABOVE INFORMATION IS TRUE AND CORRECT.

Authorized Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

GAIN and GROW EMPLOYMENT COMMITMENT

The undersigned

- ☐ has hired participants from the County's Department of Social Services' Greater Avenue for Independence (GAIN) and General Relief Opportunity for Work (GROW) employment programs

OR

- ☐ declares a willingness to consider GAIN and GROW participants for any future employment opening if participant(s) meet the minimum qualification for that opening, and

declares a willingness to provide employed GAIN and GROW participants access to proposer's employee mentoring program(s), if available, to assist those individuals in obtaining permanent employment and/or promotional opportunities.

Signature	Title
Firm Name	Date

## TRANSMITTAL FORM TO REQUEST AN RFSQ SOLICITATION REQUIREMENTS REVIEW

***A Solicitation Requirements Review must be received by the County  
within 10 business days of issuance of the solicitation document***

Proposer Name:	Date of Request:
Project Title:	Project No

A **Solicitation Requirements Review** is being requested because the Proposer asserts that they are being unfairly disadvantaged for the following reason(s). *(check all that apply)*

- ☐ Application of **Minimum Requirements**
- ☐ Application of **Evaluation Criteria**
- ☐ Application of **Business Requirements**
- ☐ Due to **unclear instructions**, the process may result in the County not receiving the best possible responses

I understand that this request must be received by the County within **10 business days** of issuance of the solicitation document.

For each area contested, Proposer must explain in detail the factual reasons for the requested review  
*(Attach additional pages and supporting documentation as necessary )*

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Request submitted by:

\_\_\_\_\_  
(Name) (Title)

***For County use only***

Date Transmittal Received by County: _____	Date Solicitation Released: _____
Reviewed by: _____	
Results of Review - Comments	
_____	
_____	
Date Response sent to Proposer: _____	

# CHARITABLE CONTRIBUTIONS CERTIFICATION

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
Internal Revenue Service Employer Identification Number

\_\_\_\_\_  
California Registry of Charitable Trusts "CT" number (if applicable)

The Nonprofit Integrity Act (SB 1262, Chapter 919) added requirements to California's Supervision of Trustees and Fundraisers for Charitable Purposes Act which regulates those receiving and raising charitable contributions.

## CERTIFICATION

YES

NO

Proposer or Contractor has examined its activities and determined that it does not now receive or raise charitable contributions regulated under California's Supervision of Trustees and Fundraisers for Charitable Purposes Act. If Proposer engages in activities subjecting it to those laws during the term of a County contract, it will timely comply with them and provide County a copy of its initial registration with the California State Attorney General's Registry of Charitable Trusts when filed ( ) ( )

## OR

Proposer or Contractor is registered with the California Registry of Charitable Trusts under the CT number listed above and is in compliance with its registration and reporting requirements under California law. Attached is a copy of its most recent filing with the Registry of Charitable Trusts as required by Title 11 California Code of Regulations, sections 300-301 and Government Code sections 12585-12586 ( ) ( )

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title (please type or print)

# TRANSITIONAL JOB OPPORTUNITIES PREFERENCE APPLICATION

COMPANY NAME		
COMPANY ADDRESS:		
CITY:	STATE:	ZIP CODE:

- ☐ I am not requesting consideration under the County's Transitional Job Opportunities Preference Program

I hereby certify that I meet all the requirements for this program:

- ☐ My business is a non-profit corporation qualified under Internal Revenue Services Code - Section 501(c)(3) and has been such for three years (*attach IRS Determination Letter*),
- ☐ I have submitted my three most recent annual tax returns with my application;
- ☐ I have been in operation for at least one year providing transitional job and related supportive services to program participants, and
- ☐ I have submitted a profile of our program, including a description of its components designed to help the program participants, number of past program participants and any other information requested by the contracting department.

I declare under penalty of perjury under the laws of the State of California that the information herein is true and correct.

PRINT NAME	TITLE:
SIGNATURE:	DATE:

REVIEWED BY COUNTY:

SIGNATURE OF REVIEWER	APPROVED	DISAPPROVED	DATE

# PROPOSER'S LIST OF TERMINATED CONTRACTS

PROPOSER'S NAME: \_\_\_\_\_

☐ Proposer has not had any contracts terminated in the past three years.

Proposer must list all contracts that have been terminated within the past three years. Terminated contracts are those contracts terminated by an agency or firm before the contract's expiration date.

SERVICE	TERMINATING DATE
NAME OF TERMINATING FIRM	
ADDRESS OF FIRM	
CONTACT PERSON:	
TELEPHONE	
FAX	
E-MAIL	

SERVICE	TERMINATING DATE
NAME OF TERMINATING FIRM	
ADDRESS OF FIRM	
CONTACT PERSON:	
TELEPHONE	
FAX	
E-MAIL	

SERVICE	TERMINATING DATE
NAME OF TERMINATING FIRM	
ADDRESS OF FIRM	
CONTACT PERSON:	
TELEPHONE	
FAX	
E-MAIL	

SIGNATURE \_\_\_\_\_

DATE: \_\_\_\_\_

# PROPOSER'S PENDING LITIGATIONS AND JUDGMENTS

Proposer's Name: \_\_\_\_\_

- ☐ Proposer and/or principals are **not** currently involved in any pending litigation, are not aware of any threatened litigation were they would be a party; and have not had any judgments entered against them within the last five years as of the date of proposal submission.

Proposer and/or principals of the Proposer must list below (use additional pages if necessary) all pending litigation, threatened litigation, and/or any judgments entered against them within the last five years as of the date of proposal submission.

A. ☐ Pending Litigation      ☐ Threatened Litigation      ☐ Judgment (check one)

1. Against ☐ Proposer; ☐ Principal; ☐ Both (check as appropriate)

2. Name of Litigation/Judgment: \_\_\_\_\_

3. Case Number: \_\_\_\_\_

4. Court of Jurisdiction: \_\_\_\_\_

5. Please provide a statement describing the size and scope of the pending/threatened litigation or judgment (use additional page if necessary)

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B ☐ Pending Litigation      ☐ Threatened Litigation      ☐ Judgment (check one)

1. Against ☐ Proposer; ☐ Principal; ☐ Both (check as appropriate)

2. Name of Litigation/Judgment: \_\_\_\_\_

3. Case Number: \_\_\_\_\_

4. Court of Jurisdiction: \_\_\_\_\_

5. Please provide a statement describing the size and scope of the pending/threatened litigation or judgment (use additional page if necessary)

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Signature of Proposer: \_\_\_\_\_ Date: \_\_\_\_\_

**PROPOSER'S INSURANCE COMPLIANCE AFFIRMATION  
AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING  
SERVICES PROGRAM (2009-AN020)**

\_\_\_\_\_  
Proposer's Name

\_\_\_\_\_  
Address

- ☐ If awarded the contract: Proposer will comply with the insurance coverage provisions set forth in Exhibit B, Section 5, Indemnification and Insurance Requirements of this Request for Proposals, and Proposer will procure, maintain, and provide the County with proof of insurance coverage in the coverage amounts and types specified in Exhibit B, Section 5 throughout the entire term of the proposed contract, without interruption or break in coverage.
- ☐ If you check this box, your proposal will be determined nonresponsive and your proposal will be disqualified. Proposer will not comply with the insurance coverage provisions set forth in Exhibit B, Section 5, Indemnification and Insurance Requirements of this Request for Proposals, and Proposer will not procure, maintain, and provide the County with proof of insurance coverage in the coverage amounts and types specified in Exhibit B, Section 5 throughout the entire term of the proposed contract, without interruption or break in coverage.

\_\_\_\_\_  
Proposer's Printed Name

\_\_\_\_\_  
Proposer's Signature

\_\_\_\_\_  
Date

TELEPHONE:

**STATE BELOW THE INFORMATION FOR ALL EQUIPMENT**

Please list one (1) item per line; DO NOT submit an equipment list in your own format. This form may be reproduced in order to list all equipment.

[illegible]

## Exhibit 10-F Certification of Consultant, Commissions &amp; Fees

## CERTIFICATION OF CONSULTANT

I HEREBY CERTIFY that I am the \_\_\_\_\_, and duly authorized  
representative of the firm of \_\_\_\_\_, whose address is  
\_\_\_\_\_, and that, except as hereby

expressly stated, neither I nor the above firm that I represent have:

- (a) employed or retained for a commission, percentage, brokerage, contingent fee, or other consideration, any firm or person (other than a bona fide employee working solely for me or the above consultant) to solicit or secure this agreement; nor
- (b) agreed, as an express or implied condition for obtaining this contract, to employ or retain the services of any firm or person in connection with carrying out the agreement; nor
- (c) paid, or agreed to pay, to any firm, organization or person (other than a bona fide employee working solely for me or the above consultant) any fee, contribution, donation, or consideration of any kind, for or in connection with, procuring or carrying out this agreement.

I acknowledge that this Certificate is to be made available to the California Department of Transportation (Caltrans) in connection with this agreement involving participation of Federal-aid Highway funds, and is subject to applicable state and federal laws, both criminal and civil.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature)

## Exhibit 10-P Nonlobbying Certification For Federal-Aid Contracts

NONLOBBYING CERTIFICATION  
FOR FEDERAL-AID CONTRACTS

The prospective participant certifies by signing below and submitting this bid or proposal to the best of his or her knowledge and belief that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

\_\_\_\_\_  
Signature\_\_\_\_\_  
Print Name\_\_\_\_\_  
Title\_\_\_\_\_  
Date

## Exhibit 10-Q Disclosure of Lobbying Activities

## DISCLOSURE OF LOBBYING ACTIVITIES

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

1. Type of Federal Action:		2. Status of Federal Action:		3. Report Type:	
<input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<input type="checkbox"/> a. initial <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:			
<input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known Congressional District, if known		Congressional District, if known 7. Federal Program Name/Description: CFDA Number, if applicable _____ 9. Award Amount, if known:			
6. Federal Department/Agency:		8. Federal Action Number, if known:			
10. a. Name and Address of Lobby Entity (If individual, last name, first name, MI)		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI)			
(attach Continuation Sheet(s) if necessary)					
11. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned		13. Type of Payment (check all that apply)			
12. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ Value _____		<input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other, specify _____			
14. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 11: (attach Continuation Sheet(s) if necessary)					
15. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input type="checkbox"/>					
16. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the donor above when his transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.					
Federal Use Only:		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date _____ Authorized for Local Reproduction Standard Form - LLL			

Standard Form LLL Rev. 04-28-06

**EXHIBIT 10-Q**  
**Disclosure of Lobbying Activities**

**INSTRUCTIONS FOR COMPLETION OF SF-LLL,  
DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient at the initiation or receipt of covered federal action or a material change to previous filing pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for such payment or agreement to make payment to lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress an officer or employee of Congress or an employee of a Member of Congress in connection with a covered federal action. Attach a continuation sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is and/or has been secured to influence, the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last, previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4. checks "Subawardee" then enter the full name, address, city, State and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organization level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identification in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant or loan award number, the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the Federal agency, enter the federal amount of the award/loan commitments for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4. to influence the covered federal action.  
 (b) Enter the full names of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed or will be expected to perform and the date(s) of any services rendered. Include all preparatory and related activity not just time spent in actual contact with federal officials. Identify the federal officer(s) or employee(s) contacted or the officer(s) employee(s) or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name title and telephone number.

Public reporting burden for this collection of information is estimated to average 30-minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

SF-LLL-Instructions Rev 06-04-90<ENDIF>



## **COUNTY OF LOS ANGELES**

### ***Policy on Doing Business With Small Business***

Forty-two percent of businesses in Los Angeles County have five or fewer employees. Only about four percent of businesses in the area exceed 100 employees. According to the Los Angeles Times and local economists, it is not large corporations, but these small companies that are generating new jobs and helping move Los Angeles County out of its worst recession in decades.

#### **WE RECOGNIZE...**

##### **The importance of small business to the County:**

- In fueling local economic growth
- Providing new jobs.
- Creating new local tax revenues.
- Offering new entrepreneurial opportunity to those historically under-represented in business.

##### **The County can play a positive role in helping small business grow:**

- As a multi-billion dollar purchaser of goods and services.
- As a broker of intergovernmental cooperation among numerous local jurisdictions.
- By greater outreach in providing information and training
- By simplifying the bid/proposal process.
- By maintaining selection criteria which are fair to all.
- By streamlining the payment process.

#### **WE THEREFORE SHALL:**

- 1 Constantly seek to streamline and simplify our processes for selecting our vendors and for conducting business with them.
- 2 Maintain a strong outreach program, fully coordinated among our departments and districts, as well as other participating governments to: (a) inform and assist the local business community in competing to provide goods and services; and, (b) provide for ongoing dialogue with and involvement by the business community in implementing this policy
3. Continually review and revise how we package and advertise solicitations, evaluate and select prospective vendors, address subcontracting, and conduct business with our vendors, in order to: (a) expand opportunity for small business to compete for our business, and, (b) to further opportunities for all businesses to compete regardless of size.
- 4 Ensure that staff who manage and carry out the business of purchasing goods and services are well-trained, capable, and highly motivated to carry out the letter and spirit of this policy

### Listing of Contractors Debarred in Los Angeles County

<b>Vendor Name:</b>	G COAST CONSTRUCTION INC		
<b>Alias:</b>			
<b>Debarment Start Date:</b>	9/11/2007	<b>Debarment End Date:</b>	9/10/2012
<b>Principal Owners and/or Affiliates:</b>	Ezra Levi		
<b>Vendor Name:</b>	INSPECTION ENGINEERING CONSTR		
<b>Alias:</b>	Inspection Engineering Construction		
<b>Debarment Start Date:</b>	6/13/2006	<b>Debarment End Date:</b>	6/12/2016
<b>Principal Owners and/or Affiliates:</b>	Jamal Deaifi		
<b>Vendor Name:</b>	ARROWHEAD EMANCIPATION PROGRAM, INC ,		
<b>Alias:</b>			
<b>Debarment Start Date:</b>	7/08/2008	<b>Debarment End Date:</b>	PERMANENT DEBARMENT
<b>Principal Owners and/or Affiliates:</b>	Irma F Reed and Charlene Williams		

# County of Los Angeles *Lobbyist Ordinance*



**IT'S THE LAW**

## It may affect you!

Chapter 2.160 of the Los Angeles County Code requires Lobbyists, Lobbying Firms and Lobbyist Employers to register with the Executive Office of the Board of Supervisors. This ordinance imposes extensive reporting requirements on individuals, businesses and other organizations. It places restrictions on the activities of anyone seeking to influence an official action of the County of Los Angeles including actions of the Board of Supervisors or the granting or denial of County contracts, licenses, permits, grants and franchises.

### YOU MAY BE CONSIDERED A COUNTY LOBBYIST

If you are compensated to communicate directly (or through agents) with any County official for the purpose of influencing official action, then you may be required to register with the Executive Office of the Board of Supervisors. The requirement to register is the same whether you are an employee of, or on contract with, a firm or organization with business before the County. Additionally, an individual or business entity may be considered a County Lobbying Firm if it receives compensation to influence the County on behalf of any other persons or businesses. An individual, business entity or organization that employs or contracts with another individual or firm to represent or make contacts with a County agency on their behalf to influence County action may be considered a County Lobbyist Employer who must also register. If in doubt, it is best to register.

Furthermore, each person or entity who is not otherwise required to register as a County Lobbyist, Lobbying Firm or Lobbyist Employer, but who directly or indirectly expends \$5,000 or more during a calendar quarter to influence official action need not register BUT must report the expenditure to the Executive Office of the Board of Supervisors on a form available from the Executive Office.

### REGISTERING IS IMPORTANT

Failure to comply with the ordinance may subject offending Lobbyists, Lobbying Firms, and Lobbyist Employers to serious penalties including fines up to \$2,000 and denial of contracts, licenses, permits, grants or franchises. Moreover, some violators may be refused permission to address the Board of Supervisors or any County commission.

### HERE'S HOW TO COMPLY WITH THE LAW

Within 10 days of qualifying as a County Lobbyist, Lobbying Firm, or Lobbyist Employer as described in the ordinance, you must register with the Executive Office of the Board of Supervisors.

Registering with the County is easy. To receive a copy of the ordinance and registration forms, or to receive additional information or answers to specific questions, please contact the Executive Office of the Board of Supervisors at the following address or you may call one of the following telephone numbers:

Executive Office of the Board of Supervisors  
County of Los Angeles  
383 Kenneth Hahn Hall Of Administration  
500 West Temple Street  
Los Angeles, California 90012

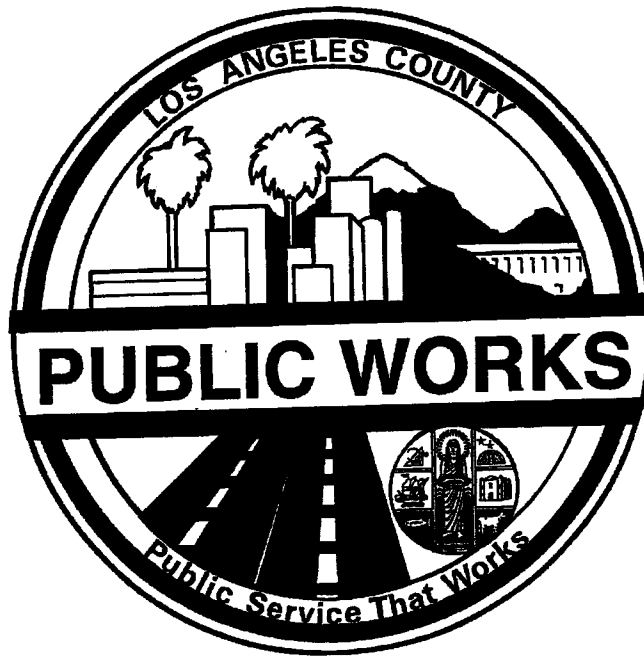
(213) 974-1093      (213) 974-1578

A copy of the ordinance is available for your review at this County facility or on the Internet.

<http://bos.co.la.ca.us/>

Thank you for your cooperation and attention.

Part II  
Sample Agreement



BY AND BETWEEN

THE COUNTY OF LOS ANGELES,  
DEPARTMENT OF PUBLIC WORKS

AND

[NAME OF CONTRACTOR]

FOR

AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL  
DRILLING SERVICES (2009-AN020)

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- EXHIBIT D Safely Surrendered Baby Law Posters**
- EXHIBIT E Drilling Services**
- EXHIBIT F Work To Be Done**
- EXHIBIT G Federally Funded Projects**

SAMPLE AGREEMENT FOR  
AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES  
PROGRAM (2009-AN020)

THIS AGREEMENT, made and entered into this \_\_\_\_ day of \_\_\_\_\_, 2009, by and between the COUNTY OF LOS ANGELES, a subdivision of the State of California, a body corporate and politic (hereinafter referred to as COUNTY) and [Name of CONTRACTOR], a [Form of Entity] (hereinafter referred to as CONTRACTOR)

WITNESSETH

FIRST The CONTRACTOR, for the consideration hereinafter set forth and the acceptance by the Board of Supervisors of said COUNTY of the CONTRACTOR'S Proposal filed with the COUNTY on \_\_\_\_\_, 2009, hereby agrees to provide services as described in this Contract for As-Needed Geotechnical and Environmental Drilling Services Program (2009-AN020).

SECOND This AGREEMENT, together with Exhibit A, Scope of Work, Exhibit B, Service Contract General Requirements, Exhibit C, Internal Revenue Service Notice 1015; Exhibit D, Safely Surrendered Baby Law Posters; Exhibit E, Drilling Services, Exhibit F, Work To Be Done; Exhibit G, Federally Funded Projects; the CONTRACTOR'S Proposal, all attached hereto; the Request for Proposals; and Addenda to the Request for Proposals, all of which are incorporated herein by reference, are agreed by the COUNTY and the CONTRACTOR to constitute the Contract.

THIRD: The COUNTY agrees, in consideration of satisfactory performance of the foregoing services in strict accordance with the Contract specifications to the satisfaction of the Director, to pay the CONTRACTOR pursuant to the Schedule of Prices for each project subsequently bid on Form PW-2. In no event will the COUNTY pay any and all contractors providing service under this Program an aggregate annual amount to exceed \$\_\_\_\_\_, or such greater amount as the Board may approve (Maximum Contract Sum).

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FOURTH The COUNTY determined that contracts for these services would be awarded to one or more qualified contractors to provide these as-needed services. Public Works will identify the work to be performed and will send out a Bid Request to all qualified contractors who have the required equipment specifications for the type of drilling work requested. If, in the sole judgment of the County Contract Manager, the work may involve encountering groundwater, the contractor must possess a valid and active California-issued, Contractor Classification C-57, Water Well Drilling license in order to submit a bid. Failure of Contractor to provide a bid in the specified manner and time frame by the County will be considered as nonresponsive. In the event that the lowest-cost contractor does not have the desired experience and equipment(s) available to provide service within the COUNTY'S time frame or is otherwise unable to perform the work at the bid price, in the sole judgment of Public Works, the COUNTY will then request service from the next lowest-cost contractor for the type of drilling required and so on until the COUNTY'S requirement is filled. The lowest cost is based on the contractor's bid, and, if applicable, the Local SBE Preference and Transitional Job Opportunities Preference. For Bid Requests that involve federal funding subject to Federal Highway Administration (FHWA), the requirements of Exhibit G shall be followed, including but not limited to a pre-award audit evaluation. In emergency situations as determined in the sole discretion of the County, the County may obtain a single bid from the Contractor of its choice to meet project requirements. Notwithstanding the foregoing, the parties understand and agree that this Contract is nonexclusive, the COUNTY may enter into other contracts for the performance of the same or similar services, and the CONTRACTOR is not entitled to or guaranteed the assignment of any work hereunder

FIFTH This Contract's initial term shall be for a period of one year commencing on \_\_\_\_\_ At the sole discretion of the COUNTY, this Contract may be extended in increments of one year, not to exceed a total contract period of five years. The COUNTY, acting through the Director, may give a written notice of intent to extend this Contract at least 30 days prior to the end of each term. At the sole discretion of the COUNTY, this Contract may also be extended on the month to month basis, upon a written notice to the Contractor at least ten days prior to the end of a term. The Director will provide a written notice of nonrenewal at least ten days before the last day of any month, in which case this Contract shall expire as of midnight on the last day of that month.

SIXTH: The CONTRACTOR shall bill for all work performed on a project-by-project basis, to the satisfaction of the Director, upon receipt of a completed invoice from the Contractor, in arrears, for the work performed during the preceding month. Work performed shall be billed at the hourly rates and/or unit prices quoted in the bid on Form PW-2 for the work requested. The Contractor's claim will clearly indicate this Contract's number, job order number, dates of service, location, type of services, and itemized cost of labor and material. Public Works will only pay actual materials and equipment used and hours worked by the Contractor's employees on the assigned project. Public Works reserves the right to request additional information it may deem necessary on the invoices.

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**SEVENTH:** Public Works will make payment to the CONTRACTOR within 30 days of receipt and approval of a properly completed invoice. However, should the CONTRACTOR be certified by the COUNTY as a Local Small Business Enterprise, payment will be made in accordance with the Board of Supervisors Policy No. 3.035, Small Business Liaison and Prompt Payment Program. Each invoice shall be in triplicate (original and two copies) and shall itemize the work completed. The invoices shall be submitted to:

County of Los Angeles Department of Public Works  
Attention Fiscal Division, Accounts Payable  
P O Box 7508  
Alhambra, CA 91802-7508

**EIGHTH:** In no event shall the aggregate total amount of compensation paid to any and all Contractors under this Program exceed the amount of compensation authorized by the Board. Such aggregate total amount is the Maximum Contract Sum.

**NINTH:** The CONTRACTOR understands and agrees that only the designated Public Works Contract Manager is authorized to request or order work under this Contract. The CONTRACTOR acknowledges that the designated Contract Manager is not authorized to request or order any work that would result in the CONTRACTOR earning an aggregate compensation in excess of this Contract's Maximum Contract Sum.

**TENTH:** The CONTRACTOR shall not perform or accept work requests from the Contract Manager or any other person that will cause the Maximum Contract Sum of this Contract to be exceeded. CONTRACTOR shall monitor the balance of this Contract's Maximum Contract Sum. When the total of the CONTRACTOR'S paid invoices, invoices pending payment, invoices yet to be submitted, and ordered services reaches 75 percent of the Maximum Contract Sum, the CONTRACTOR shall immediately notify the Contract Manager in writing. The CONTRACTOR shall send written notification to the Contract Manager when this Contract is within six months from expiration of the term as provided for hereinabove.

**ELEVENTH:** No cost-of-living adjustments shall be granted for the optional renewal periods.

**TWELFTH:** In the event that terms and conditions, which may be listed in the CONTRACTOR'S Proposal, conflict with the COUNTY'S specifications, requirements, and terms and conditions as reflected in this AGREEMENT, including, but not limited to, Exhibits A through G, inclusive, the COUNTY'S provisions shall control and be binding.

**THIRTEENTH:** The CONTRACTOR agrees in strict accordance with the Contract specifications and conditions to meet the COUNTY'S requirements.

**FOURTEENTH:** This Contract constitutes the entire agreement between the COUNTY and the CONTRACTOR with respect to the subject matter of this Contract and supersedes all prior and contemporaneous agreements and understandings.

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IN WITNESS WHEREOF, the COUNTY has, by order of its Board of Supervisors, caused these presents to be subscribed by the Director of Public Works, and the CONTRACTOR has subscribed its name by and through its duly authorized officers, as of the day, month, and year first written above.

COUNTY OF LOS ANGELES

By \_\_\_\_\_  
Director of Public Works

APPROVED AS TO FORM:

ROBERT E. KALUNIAN  
Acting County Counsel

By \_\_\_\_\_  
Deputy

[NAME OF CONTRACTOR]

By \_\_\_\_\_  
Its President

\_\_\_\_\_  
Type or Print Name

By \_\_\_\_\_  
Its Secretary

\_\_\_\_\_  
Type or Print Name

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SCOPE OF WORK  
AS-NEEDED GEOTECHNICAL AND ENVIRONMENTAL DRILLING SERVICES  
PROGRAM

A. Overview

The work to be accomplished under the Contractor will consist of furnishing qualified personnel and equipment for as-needed geotechnical and environmental drilling services at various locations in Los Angeles County

Work to be accomplished consists of the various aspects of drilling related to investigations for geotechnical, environmental, and groundwater purposes. Investigations may include, but not be limited to foundation investigation drilling, ground improvements, horizontal or hillside drilling, hydrauger installations, groundwater exploration, dewatering, environmental sampling, and slope inclinometer installation. Activities associated with groundwater investigations may include, but are not limited to drilling and abandonment of groundwater production wells and well development and grouting. Environmental investigations may include, but not be limited to directional and slant drilling, direct push drilling, monitoring well construction and abandonment, grouting, and well development.

It is not expected that the Contractor be able to perform all drilling aspects listed above. Specialization in one or a few of the drilling aspects listed above may be sufficient to meet contract requirements.

The County may award one or more contracts for these services. Award of a contract places the Contractor on a list of qualified providers, but does not guarantee any minimum amount of work.

The County reserves the right to determine if any work is or will be needed and/or requested under this Contract, at the County's sole and absolute discretion. The Contractor waives all claims against the County for consequential damages resulting from the County's failure to use the Contractor's services, including, but not limited to, lost profit.

B. Public Works Contract Manager

Public Works Contract Manager will be Mr Gerald Goodman of Geotechnical and Materials Engineering Division, who may be contacted at (626) 458-4923, e-mail address: ggoodman@dpw.lacounty.gov, Monday through Thursday, 7 a.m. to 5 p.m. The Contract Manager is the only person authorized by Public Works to request work of the Contractor. From time to time, Public Works may change the Contract Manager. The Contractor will be notified in writing when there is a change in the Contract Manager.

C Work Location

All job sites are located within the boundaries of the County

D Work Description

Work to be accomplished consists of the various aspects of drilling related to investigations for geotechnical, environmental, and groundwater purposes. It is not expected that the Contractor will be able to perform all drilling aspects listed above. Specialization in one or a few of the drilling aspects listed above may be sufficient to meet contract requirements.

1 Drilling Services

The specifications for each drilling service are as follows:

- a. Rotary Core Drilling with Core Recovery: Core drilling shall be performed for concrete dams, or for conditions with bedrock, cobbles or boulders, or when strata encountered are too hard to be penetrated by other drilling methods. Drilling machines with hydraulic feed and wireline drilling techniques shall be used for coring. Core barrels of triple tube type, equipped with longitudinally split inner tubes and bottom discharged diamond bits sized to produce N-size or H-size cores are normally used to recover core. Core drilling shall be conducted in accordance with ASTM Standard D2113, "Standard Practice for Diamond Core Drilling for Site Investigations." Drilling techniques to best preserve core shall be utilized at all times; speed of drilling shall not take precedence over core recovered quality

Core Storage: Rock shall be placed in uniformly sized wooden core boxes made of No. 2 planed lumber, 3/4-inch nominal thickness. Each core box shall be capable of holding approximately 15 feet of core in partitioned parallel rows. Box bottoms and hinges shall be fastened with screws, and covers shall be hinged and provided with double hooks and eyes to keep the cover closed.

- b. Becker Drill Rig (Becker Hammer): A Becker Penetration Test (BPT) shall be performed to evaluate liquefaction potential of selected sites. The Becker rig shall consist of an International Construction Equipment, Inc. (ICE) Model 180 diesel-pile driver with rated energy of 8,100 foot-pounds driving 168-mm (outside diameter) casing or equivalent. Bounce chamber pressures shall be measured using an ICE energy gauge and a 50-foot hose.

- c. **Cone Penetrometer Test (CPT) Rig:** CPT rigs shall be used to provide hydrogeologic profiling for environmental and geotechnical projects. CPT rigs shall be capable of pushing cone penetrometers; groundwater, vapor, soil samplers, and piezometers to depths in excess of 100 feet below ground surface (bgs). Cone Penetrometer testing shall be conducted in accordance with ASTM Standard D5778, "Standard Test Method for Performing Electronic Friction Cone and Piezocone Penetration Testing of Soils." A steam cleaner system shall be available to decontaminate rods prior to each hole and after every use. A grout plant shall be available to grout a CPT hole after the completion of the test.
- d. **Hollow Stem Auger Drill Rig:** The drill rig used to rotate and advance the continuous flight auger column shall be capable of applying rated power at a rotary velocity of 50 to 100 rpm. The drill rig shall have a feed stroke of at least the effective length of the auger sections plus the effective length of the auger couplings. For deep drilling, a high torque engine and extra heavy duty augers shall be available. Drill rigs shall be capable of drilling 2.25-inch to 12.25-inch diameter borings. Rigs shall be equipped with an automatic hammer or manually-operated hammer for Standard Penetration Test (SPT). SPT and soil sampling shall be conducted in accordance with ASTM Standard D1586, "Standard Test Method for Penetration Test and Split-Barrel Sampling of Soils." A steam cleaner system shall be available to decontaminate augers prior to each boring and after every use. A grout plant shall be available to grout the Hollow Stem hole after the completion of the drilling.

For certain drilling jobs which may require retrieval of a continuous high quality samples and precise vertical profiling of a formation, the Hollow Stem Rig shall be equipped with Overshot Wireline Continuous Sampling System manufactured by Foremost Mobile Company or equivalent system.

- e. **Bucket Auger Drill Rig:** The drill rig shall have a high torque engine and heavy duty bucket auger capable of drilling 16-inch, 18-inch, 24-inch, 30-inch, and 36-inch borings. A heavy duty coring bucket shall be available when strata encountered are too hard to be drilled with a bucket auger. Rigs shall be equipped with an automatic hammer or manually operated hammer for SPT. SPT and soil sampling shall be conducted in accordance with ASTM Standard D1586, "Standard Test Method for Penetration Test and Split-Barrel Sampling of Soils."

- f. **Pneumatic Percussion Drill Rig:** When required by the work, Contractor shall furnish a noncoring percussion drill rig capable of drilling by means of a hammer, driven by compressed air which provides a rapid succession of impacts on the surface of the rock or concrete as the rod rotates. A high output air compressor shall be available to operate the rig and flush the drill cuttings to the surface. Drill rigs shall be capable of drilling 4-inch, 6-inch, and 8-inch borings to depths exceeding 100 feet bgs.
- g. **Sonic Drill Rig:** A sonic drill shall be a rig which uses high frequency mechanical oscillations to transmit resonant vibrations and rotary power to the drill tooling allowing it to achieve drilling penetration rates without the need for drilling fluids or air to effectively take overburden core samples. A sonic drill rig shall be used in order to obtain relatively undisturbed cores/samples and in cases where introduction of air, water, mud, or other drilling fluids is not desired or allowed. The sonic rig shall be able to drill through rock and boulders in a relatively short period of time, for example, 10 to 15 minutes to bore through 12-inch diameter of fresh, hard granitic boulder
- h. **Geoprobe, Hydropunch, and related Direct Push Rig:** This category of tools and sensors are pushed into the ground without the use of drilling to remove soil or to make a path for the tool. A geoprobe machine relies on a relatively small amount of static (vehicle) weight combined with percussion as the energy for the advancement of tool string. The tools are used to perform soil core and soil gas sampling, groundwater sampling, electrical conductivity and contaminant logging, grouting, and materials injection.
- i. **Limited Access/All Terrain Drill Rig:** Limited access and all terrain drill rigs that could be deployed in difficult access locations or low overhead clearance areas. The limited access and all terrain rigs may include Hollow Stem, Bucket Auger, Rotary Core, Pneumatic Percussion, and Sonic.
- j. **Hillside Drill Rig:** Hillside drill rig shall be capable of drilling on hillside slopes with Hollow Stem or Bucket Auger
- k. **Well Development Rig:** The well development rig shall be used solely for development, redevelopment, or reconditioning of groundwater wells following installation. The rig shall have the capabilities for various size wells, although 4-inch diameter is typical. The rig shall utilize different methods of development

including, but not necessarily limited to over-pumping, surging/swabbing with plungers or surge blocks, and jetting with water

2. Work To Be Done

The description of work and materials to be performed, constructed or furnished by the Contractor are as follows:

- a. Geotechnical and Environmental Drilling: Drilling, testing, and sampling for geotechnical and/or environmental investigations using the drill rig specified for use by the Geologist or Engineer. Most common method of testing and sampling utilizes a Split-Spoon sampler driven to the ground by an automatic hammer or manually operated hammer for SPT. SPT and soil sampling shall be conducted in accordance with ASTM Standard D1586, "Standard Test Method for Penetration Test and Split-Barrel Sampling of Soils." Usually, 2-inch diameter tube samples are obtained every five feet or at intervals determined by the Public Works Geologist or Engineer.

For environmental investigations, a steam cleaner system shall be available to decontaminate augers prior to every use. The bore hole shall be abandoned by backfilling with hydrated bentonite or cement grout. The surface shall be restored to the original condition by resurfacing with asphalt or quick drying cement.

- b. Installation of Sub-drains or Hydraugers. The Contractor shall furnish all plant, labor, equipment, and materials to perform all operations related to the installation of sub-drains using directional, rotary, or percussion drilling equipment shall be used that is capable of drilling holes horizontally or inclined upwards in any type of geologic conditions. Casing shall be installed to maintain the open hole. Sub-drains shall be installed in accordance with the plans and specifications provided by Public Works, or upon the direction of the Public Works Geologist or Engineer.
- c. Installation of Groundwater Monitoring Wells. The Contractor shall furnish all labor, equipment, and materials to perform all operations related to the installation of monitoring wells. Monitoring wells shall be installed in accordance with the plans and specifications provided by Public Works, or upon the direction of the Public Works Geologist or Engineer.

- d Well Development: The Contractor shall furnish all labor, dedicated equipment, and materials to perform well development, redevelopment, or reconditioning. Acceptable well development methods include over pumping, surging or swabbing by use of plungers, surging with compressed air, backwashing or surging by alternating the starting and stopping of a pump, jetting with water, introduction of specifically formulated chemicals into the well, or combinations of the above methods. Well development shall be performed in accordance with the California Well Standards, Bulletin 74-90, Section 14 and in accordance with any other State and local guidelines.

The Contractor shall provide appropriate containers, such as Department of Transportation approved 55 gallon drums or Baker tanks for storage of development water. The work shall include the measurement of various fluid characteristics, such as, conductivity, pH, temperature, and turbidity necessary to complete a well development log.

- e. Well Abandonment: The Contractor shall furnish all plant, labor, equipment, and materials to perform all operations related to the abandonment of wells. A monitoring well shall be abandoned with the removal of original borehole sidewalls by means of drilling or over-drilling and pulling-out the casing. Sealing material shall be placed with the use of tremie pipe to prevent freefall, bridging, and dilution of sealing material. Pressure required for the placement of cement-based sealing material shall be maintained long enough for the sealing materials to set. Well destruction shall be performed in accordance with the California Well Standards, Bulletin 74-90, Section 20 to Section 23 and in accordance with any other State and local guidelines.

- f Down hole Logging for Geologist: The Contractor shall be equipped with an approved down hole system capable of safely lowering the Public Works Geologist into the exploration shaft. The down hole equipment shall be in compliance with the requirements stated in Cal/OSHA Subchapter 4, Construction Safety Orders, Article 6, Section 1542e. The Contractor shall provide a drill rig or boom truck with power up/power down capability for lowering and raising the platform in the shaft. The hoist cable shall have a minimum diameter of 5/16 inches. The downhole equipment shall be subject to the approval of the Public Works Geologist/Engineer. As deemed necessary and on a case by case basis the contractor shall allow and facilitate the use of safety equipment provided by Public Works.

The County reserves the right to determine if any work is or will be needed and/or requested under this Contract, at the County's sole and absolute discretion. The Contractor waives all claims against the County for consequential damages resulting from the County's failure to use the Contractor's services, including, but not limited to, lost profit.

E. Hours and Days of Service

Hours of services shall be primarily performed within the 7:00 a.m. to 5:00 p.m. time period, Monday through Friday, each week, except legal holidays, at which time the service shall be done before or after such holiday. A regular work day will consist of ten hours, with premium rates applied after the tenth hour. Work hours may be altered and/may include Saturdays, Sundays and holidays, when necessary, with the approval of the Director.

F. Utilities

The County will not provide utilities.

G. Storage Facilities

The County will not provide storage facilities for the Contractor

H. Removal of Debris

All debris derived from these services shall be removed from Public Works property and become the property of the Contractor. The Contractor shall dispose of all debris from these services in a legally established area appropriate for type of debris being disposed. Disposal shall be at the Contractor's expense. The Contractor shall not allow any debris from its operations under this Contract to be deposited in the storm drains and/or gutters in violation of the National Pollutant Discharge Elimination System.

I. Special Safety Requirements

1. All Contractor's operators shall be expected to observe all applicable State of California Occupational Safety and Health Administration (Cal/OSHA) and Public Works' safety requirements while at Public Works' jobsites.
2. Hard hats will be worn at all times. Suitable clothing, gloves, and boots that meet Cal/OSHA requirements are required.
3. When performing environmental drilling, all Contractor's personnel on-site shall have the 40-hour HAZWOPER training and certification as required by CCR Title 8, Section 5192(q), Hazardous Waste Operations and Emergency Response and CFR Title 29, Section 1910.120, Hazardous Waste Operations and Emergency Response.

4. Upon award of a project, the Contractor shall submit a Health and Safety Plan, which is appropriate to the site conditions, satisfactory to the County, and subject to the approval of the Project Manager

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Responsibilities of the Contractor

- 1 The Contractor and subcontractors, if any, shall maintain a valid and active Contractor Classification C-57, Water Well Drilling Contractor License or a valid and active California-issued Contractor Classification C-61, Limited Specialty Classification (Subcategory D09 - Drilling, Blasting and Oil Field Work) license throughout the term of the contract. If the Contractor and subcontractors are qualified to perform water well drilling service, a valid and active California-issued Contractor Classification C-57, Water Well Drilling License is also required throughout the term of the contract. Contractor shall be responsible for providing personnel, supervision, material, and equipment to perform the work listed in this Exhibit A.
- 2 Contractor shall comply with all applicable Federal, State, and local laws and regulations in performing this work.
- 3 All work accomplished under these Specifications shall comply with the Specifications for Public Works Construction (Greenbook), 2009 Edition, and subsequent supplements, as published by Building News, Inc., 1612 South Clementine Street, Anaheim, CA 92802.
- 4 Except where stated otherwise, the Contractor shall provide traffic control necessary to provide convenient and safe passage for the traveling public (including pedestrian and bicyclists) through the work area, as well as for safeguarding the workers. Before work begins, traffic control plans shall be approved by the public agency or authority having jurisdiction over the road or highway.
- 5 Except where stated otherwise, the Contractor shall obtain all the necessary permits to perform the work, from the public agency or authority having jurisdiction over the project site. The Contractor shall comply with the provisions of the permit as it pertains to its operation.
- 6 Except where stated otherwise, the Contractor shall have the responsibility for the recycling or disposal of all wastes (both hazardous and nonhazardous) generated during the performance of the work. Only State approved hazardous waste hauling contractors shall be authorized to transport hazardous waste. Waste hauling contractors shall have current Environmental Protection Agency (E.P.A.) identification number, State of California Department of Toxic Substances Control (D.T.S.C.) Hazardous Waste Haulers Certificate of Compliance (posted on each

container to be transported), and shall meet all Department of Transportation (D.O.T.) hazardous waste regulations. All of the hazardous or contaminated waste shall be recycled or disposed of at locations which have been legally approved for this disposal and have been preapproved by the County, and shall not be disposed of in sanitary sewers, storm drains or in drainage sumps. The disposal method and disposal/recycling facility may be dictated by the Public Works Geologist/Engineer. The Contractor should factor in the cost of disposal in their bid price when requested. When applicable, copies of all relevant paperwork such as: hazardous or non-hazardous manifest forms, hazardous manifest forms, work orders/tickets, facility weighmaster certificates, and facility acceptance certificates, are to be returned to the Public Works Contact Manager or his designated representative requesting the work.

7. The Contractor may dispose of nonhazardous inert rubble and excess noncontaminated soil from drilling operations at the site as unclassified fill in accordance with Public Works Geologist/Engineer's instructions.
8. The Contractor shall abide by the Best Management Practices (BMPs). The BMPs shall be defined as any program, technology, process, siting criteria, operating method, measure or device which controls, prevents, removes, or reduces pollution. The Contractor shall obtain and refer to the "Los Angeles County Department of Public Works, Construction Site Best Management Practices (BMPs) Manual, September 2007" This publication is available from:

Los Angeles County  
Department of Public Works  
Cashier's Office  
900 South Fremont Avenue  
Alhambra, California 91803  
Telephone (626) 458-6959

9. Contractor shall follow requirements of the following permit when applicable: "Waste Discharge Requirements for Municipal Storm Water and Urban Runoff Discharges within the County of Los Angeles, and Incorporated Cities Therein, except the City of Long Beach (Order No. 01-182, NPDES No. CAS004001)." Note that an updated permit is in the process of being adopted.

A copy of the permit is available from:  
[http://www.waterboards.ca.gov/losangeles/water\\_issues/programs/stormwater/municipal/ms4\\_permits/los\\_angeles/2001-2007/LA\\_MS4\\_Permit2001-2007.pdf](http://www.waterboards.ca.gov/losangeles/water_issues/programs/stormwater/municipal/ms4_permits/los_angeles/2001-2007/LA_MS4_Permit2001-2007.pdf)

10. For each specific job Public Works will identify the work to be performed through a mini specification. The Contractor shall comply with all request listed within the mini-specification.

K. Responsibilities of Public Works

The County will determine the need for, and provide, jobsite inspection.

L. Federally Funded Projects

For federally funded projects subject to Federal Highway Administration (FHWA), the procedure indicated in Exhibit G shall apply. Upon solicitation of job bid, contractors shall complete and return Exhibit G.1-G.11 to the County. County, in accordance with Caltrans' Local Assistance Procedures Manual, shall perform a pre-award award audit of the winning bidder for bid jobs in excess of \$250,000. Bid job contracts shall not be executed until the audit report has been completed, which may be subject to a review by Caltrans Audits and Investigations.

M. Project Safety Official

The Contractor shall designate in writing a Project Safety Official who shall be thoroughly familiar with the Contractor's Injury and Illness Prevention Program and Code of Safe Practices. The Contractor's Project Safety Official shall be available at all times to abate any potential safety hazards and shall have the authority and responsibility to shut down an operation, if necessary. Failure by the Contractor to provide the required Project Safety Official shall be grounds for the County to direct the cessation of all work activities and operations at no cost to the County until such time as the Contractor is in compliance.

N. Prevailing Wage

The Director of the Department of Industrial Relations of the State of California has ascertained the prevailing rate of per diem wages in dollars, based on a working day of eight hours, for each craft or type of worker or mechanic needed to execute any construction or maintenance contract which may be awarded by Public Works. The current prevailing wage rates as adopted by the Director of the Department of Industrial Relations are incorporated herein by reference and may be accessed at <http://www.dir.ca.gov/>.

The Contractor is required to pay the prevailing wage rate referred to above and is responsible for selecting the classification of workers, which will be required to perform this service in accordance with the Contractor's method of performing the work. Pursuant to Section 1775, of the Labor Code (State of California), Contractor shall forfeit \$50 for each calendar day, or portion thereof, for each worker paid less than the stipulated prevailing wage rates for any public work done under this Contract or by any subcontractor.

○ Liquidated Damages

1. In any case of the Contractor's failure to meet certain specified performance requirements, the County may, in lieu of other remedies provided by law or the Contract, assess liquidated damages in specified sums and deduct them from any regularly scheduled payment to the Contractor. However, neither the provision of a sum of liquidated damages for nonperformance or untimely or inadequate performance nor the County's acceptance of liquidated damages shall be construed to waive the County's right to reimbursement for damage to its property or indemnification against third-party claims.
2. The amounts of liquidated damages have been set in recognition of the following circumstances existing at the time of the formation of the Contract:
  - a. All of the time limits and acts required to be done by both parties are of the essence of the Contract;
  - b. The parties are both experienced in the performance of the Contract work;
  - c. The Contract contains a reasonable statement of the work to be performed in order that the expectations of the parties to the Contract are realized. The expectation of the County is that the work will be performed with due care in a workmanlike, competent, timely, and cost-efficient manner while the expectation of the Contractor is a realization of a profit through the ability to perform the Contract work in accordance with the terms and conditions of the Contract at the Proposal price;
  - d. The parties are not under any compulsion to contract;
  - e. The Contractor's acceptance of the assessment of liquidated damages against it for unsatisfactory and late performance is by agreement and willingness to be bound as part of the consideration being offered to the County for the award of the Contract;
  - f. It would be difficult for the County to prove the loss resulting from nonperformance or untimely, negligent, or inadequate performance of the work; and
  - g. The liquidated sums specified represent a fair approximation of the damages incurred by the County resulting from the Contractor's failure to meet the performance standard as to each item for which an amount of liquidated damages is specified.

3. The Contractor shall pay Public Works, or Public Works may withhold from monies due to the Contractor, liquidated damages in the sum of \$1,500 for each consecutive calendar day that the Contractor fails to complete work within the time specified unless otherwise provided in this Contract or approved in writing by the Contract Manager, or approved in writing by the Contract Manager

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## SERVICE CONTRACT GENERAL REQUIREMENTS

### SECTION 1

#### INTERPRETATION OF CONTRACT

A. Ambiguities or Discrepancies

Both parties have either consulted or had the opportunity to consult with counsel regarding the terms of this Contract and are fully cognizant of all terms and conditions. Should there be any uncertainty, ambiguity, or discrepancy in the terms or provisions hereof, or should any misunderstanding arise as to the interpretation to be placed upon any position hereof or the applicability of the provisions hereunder, neither party shall be deemed as the drafter of this Contract and the uncertainty, ambiguity, or discrepancy shall not be construed against either party.

B. Definitions

Whenever in the Request for Proposals, Contract, Scope of Work, Specifications, Terms, Requirements, and/or Conditions the following terms are used, the intent and meaning shall be interpreted as follows.

Agency. See definition for "County"

Agreement. The written, signed accord covering the performance of the requested service

Board. The Board of Supervisors of County of Los Angeles and Ex-Officio Board of Supervisors of the Los Angeles County Flood Control District

Contract/Agreement. The written agreement covering the performance of the service and the furnishing of labor, materials, supervision, and equipment in the performance of the service. The contract includes the Agreement, Exhibit A - Scope of Work (Specifications), Exhibit B - Service Contract General Requirements, Exhibit C - Internal Revenue Service Notice 1015, Exhibit D - Safely Surrendered Baby Law Posters, and other appropriate exhibits and amendments. Included are all supplemental agreements amending or extending the service to be performed, which may be required to supply acceptable services specified herein

Contractor/Consultant. The person or persons, sole proprietor, partnership, joint venture, corporation, or other legal entity who has entered into an agreement with County to perform or execute the work covered by this Contract.

Contract Work or Work. The entire contemplated work of maintenance and repair to be performed, and services rendered as prescribed in this Contract.

County Includes County of Los Angeles, County of Los Angeles Department of Public Works, Los Angeles County Road Department, and/or Los Angeles County Engineer

Day Calendar day(s) unless otherwise specified

Direct Employee Worker employed by Contractor under Contractor's state and federal taxpayer identification

Director The Director of Public Works, County of Los Angeles, as used herein, includes the Road Commissioner, County of Los Angeles; County Engineer, County of Los Angeles, Chief Engineer, Los Angeles County Flood Control District, and/or authorized representative(s)

District Los Angeles County Flood Control District, or Los Angeles County Waterworks Districts, or Los Angeles County Consolidated Sewer Maintenance District.

Employee Leasing Any agreement to employ any worker, at any tier, that is neither a subcontract nor a direct employee relationship

Fiscal Year The 12 month period beginning July 1st and ending the following June 30th

Maximum Contract Sum The Maximum Contract Sum is the aggregate total amount of compensation authorized by the Board

Proposal The written materials that a Proposer submits in response to a solicitation document (Request for Proposals)

Proposer Any individual, person or persons, sole proprietor, firm, partnership, joint venture, corporation, or other legal entity submitting a Proposal for the work, acting directly or through a duly authorized representative.

Public Works County of Los Angeles Department of Public Works.

Solicitation Request for Proposals, Invitation for Bids, Request for Statement of Qualifications, or Request for Quotation.

Specifications The directions, provisions, and requirements contained herein, as supplemented by such special provisions as may be necessary pertaining to method, manner, and place of performing the work under this Contract.

Subcontract/Subconsultant An agreement by the Contractor to employ a subcontractor at any tier; to employ or agree to employ a subcontractor, at any tier

Subcontractor Any individual, person or persons, sole proprietor, firm, partnership, joint venture, corporation, or other legal entity furnishing supplies, services of any nature, equipment, and/or materials to Contractor in furtherance of the Contractor's performance of this Contract, at any tier, under oral or written agreement.

C Headings

The headings herein contained are for convenience and reference only and are not intended to define or limit the scope of any provision thereof

## SECTION 2

### STANDARD TERMS AND CONDITIONS PERTAINING TO CONTRACT ADMINISTRATION

#### A. Amendments

- 1 For any change which affects the scope of work, contract sum, payments, or any term or condition included in this Contract, an amendment shall be prepared and executed by Contractor and the Board or if delegated by the Board, the Director and Contractor
- 2 The Board or County's Chief Executive Officer or designee may require the addition and/or change of certain terms and conditions in this Contract during the term of this Contract. County reserves the right to add and/or change such provisions as required by the Board or the Chief Executive Officer. To implement such changes, an amendment or a change order to this Contract shall be prepared by Public Works for execution by Contractor and the Director
- 3 County may, at its sole discretion, authorize extensions of time to this Contract's term. Contractor agrees that such extensions of time shall not change any other term or condition of this Contract during the period of such extensions. To implement an extension of time, an amendment to this Contract shall be prepared and executed by Contractor and the Board or if delegated by the Board, the Director and Contractor. To the extent that extensions of time for Contractor performance do not impact either scope or amount of this Contract, Public Works may, at its sole discretion, grant Contractor extensions of time, provided the aggregate of all such extensions during the life of this Contract shall not exceed 120 days.
- 4 For any change which does not materially affect the scope of work or any other term or condition included under this Contract, a *Change Order* shall be prepared and signed by the County and the Contractor

#### B. Assignment and Delegation

- 1 Contractor shall not assign its rights or delegate its duties under this Contract, or both, whether in whole or in part, without the prior written consent of County, in its discretion, and any attempted assignment or delegation without such consent shall be null and void. For purposes of this paragraph, County consent shall require a written amendment to this Contract, which is formally approved and executed by Contractor and the Board or if delegated by the Board, the Director and Contractor. Any payments by County to any approved delegate or assignee on any claim

under this Contract shall be deductible, at County's sole discretion, against the claims which Contractor may have against County

2. Shareholders, partners, members, or other equity holders of Contractor may transfer, sell, exchange, assign, or divest themselves of any interest they may have therein. However, in the event any such sale, transfer, exchange, assignment, or divestment is effected in such a way as to give majority control of Contractor to any person(s), corporation, partnership, or legal entity other than the majority controlling interest therein at the time of execution of this Contract, such disposition is an assignment requiring the prior written consent of County in accordance with applicable provisions of this Contract
3. Any assumption, assignment, delegation, or takeover of any of Contractor's duties, responsibilities, obligations, or performance of same by any entity other than Contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever without County's express prior written approval, shall be a material breach of this Contract, which may result in the suspension or termination of this Contract. In the event of such a termination, County shall be entitled to pursue the same remedies against Contractor as it could pursue in the event of default of Contractor

C Authorization Warranty

Contractor represents and warrants that the person(s) executing this Contract for Contractor is an authorized agent who has actual authority to bind Contractor to each and every term, condition, and obligation of this Contract and that all requirements of Contractor have been fulfilled to provide such actual authority

D Budget Reduction

In the event that the County's Board of Supervisors adopts, in any fiscal year, a County Budget which provides for reductions in the salaries and benefits paid to the majority of County employees and imposes similar reductions with respect to County Contracts, the County reserves the right to reduce its payment obligation under this Contract correspondingly for that fiscal year and any subsequent fiscal year during the term of this Contract (including any extensions), and the services to be provided by the Contractor under this Contract shall also be reduced correspondingly. Except as set forth in the preceding sentence, the Contractor shall continue to provide all of the services set forth in this Contract. The County's notice to the Contractor regarding said reduction in payment obligation shall be provided within thirty (30) calendar days of the Board's approval of such actions

E Complaints

Contractor shall develop, maintain, and operate procedures for receiving, investigating, and responding to any complaints by any individual

- 1 Within 12 business days after this Contract's effective date, Contractor shall provide County with Contractor's policy for receiving, investigating, and responding to any complaints by any individual.
- 2 County will review Contractor's policy and provide Contractor with approval of said plan or with requested changes.
- 3 If County requests changes in Contractor's policy, Contractor shall make such changes and resubmit the plan within five business days for County approval.
- 4 If, at any time, Contractor wishes to change Contractor's policy, Contractor shall submit proposed changes to County for approval before implementation.
- 5 Contractor shall preliminarily investigate all complaints and notify the Contract Manager of the status of the investigation within five business days of receiving the complaint.
- 6 When complaints cannot be resolved informally, a system of follow-through shall be instituted which adheres to formal plans for specific actions and strict time deadlines.
- 7 Copies of all written responses shall be sent to the Contract Manager within three business days of mailing to the complainant

F Compliance with Applicable Laws

- 1 Contractor shall comply with all applicable Federal, State, and local laws, rules, regulations, ordinances, or directives, and all provisions required thereby to be included in this Contract are hereby incorporated by reference
- 2 Contractor shall defend, indemnify, and hold County harmless from and against any and all liability, damages, costs, and expenses, including, but not limited to, defense costs and attorneys' fees arising from or related to any violation on the part of Contractor or its employees, agents, or subcontractors of any such laws, rules, regulations, ordinances, or directives

G Compliance with Civil Rights Laws

Contractor hereby assures that it will comply with Subchapter VI of the Civil Rights Act of 1964, 42 USC Sections 2000 (e)(1) through 2000 (e)(17), to the end that no person shall, on the grounds of race, creed, color, sex, religion, ancestry, age, condition of physical disability, marital status, political affiliation, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Contract or under any project, program, or activity supported by this Contract. Contractor shall comply with its EEO Certification (Form PW-7)

H Confidentiality

- 1 Contractor shall maintain the confidentiality of all records obtained from County under this Contract in accordance with all applicable Federal, State, and local laws, ordinances, regulations, and directives relating to confidentiality
- 2 Contractor shall inform all of its officers, employees, agents, and subcontractors providing services hereunder of the confidentiality provisions of this Contract

I Conflict of Interest

- 1 No County employee whose position with County enables such employee to influence the award of this Contract or any competing contract, and no spouse or economic dependent of such employee shall be employed in any capacity by Contractor or have any other direct or indirect financial interest in this Contract. No officer or employee of Contractor who may financially benefit from the performance of the work hereunder shall in any way participate in County's approval, or ongoing evaluation, of such work, or in any way attempt to unlawfully influence County's approval or ongoing evaluation of such work.
2. Contractor represents and warrants that it is aware of, and its authorized officers have read, the provisions of Los Angeles County Code, Section 2 180 010, "Certain Contracts Prohibited," and that execution of this Agreement will not violate those provisions. Contractor shall comply with all conflict of interest laws, ordinances, and regulations now in effect or hereafter to be enacted during the term of this Contract. Contractor warrants that it is not now aware of any facts that create a conflict of interest. If Contractor hereafter becomes aware of any facts that might reasonably be expected to create a conflict of interest, it shall immediately make full written disclosure of such facts to County. Full written disclosure shall include, but is not limited to, identification of all persons implicated and a complete description of all relevant circumstances. Failure to comply with the

provisions of this paragraph shall be a material breach of this Contract subjecting Contractor to either contract termination for default or debarment proceedings or both. Contractor must sign and adhere to the "Conflict of Interest Certification" (Form PW-5)

J. Consideration of Hiring County Employees Targeted for Layoffs or Former County Employee on Reemployment List

Should Contractor require additional or replacement personnel after the effective date of this Contract to perform the services set forth herein, Contractor shall give first consideration for such employment openings to qualified permanent County employees who are targeted for layoff or qualified, former County employees who are on a reemployment list during the life of this Contract

K. Consideration of Hiring GAIN and GROW Participants

1. Should Contractor require additional or replacement personnel after the effective date of this Contract, Contractor shall give consideration for any such employment openings to participants in County's Department of Public Social Services' Greater Avenues for Independence (GAIN) Program and General Relief Opportunity for Work (GROW) Program who meet Contractor's minimum qualifications for the open position. For this purpose, consideration shall mean that Contractor will interview qualified candidates. County will refer GAIN and GROW participants by category to Contractor.
2. In the event that both laid-off County employees and GAIN and GROW participants are available for hiring, County employees shall be given first priority.

L. Contractor's Acknowledgment of County's Commitment to Child Support Enforcement

Contractor acknowledges that County places a high priority on the enforcement of child support laws and the apprehension of child support evaders. Contractor understands that it is County's policy to encourage all County contractors to voluntarily post County's L.A.'s Most Wanted Delinquent Parents poster in a prominent position at Contractor's place of business. County's Child Support Services Department will supply Contractor with the poster to be used.

M. Contractor's Charitable Activities Compliance

The Supervision of Trustees and Fundraisers for Charitable Purposes Act regulates entities receiving or raising charitable contributions. The "Nonprofit Integrity Act of 2004" (SB 1262, Chapter 919) increased Charitable Purposes Act requirements. By requiring contractors to complete the Charitable

Contributions Certification (Form PW-12), County seeks to ensure that all County contractors which receive or raise charitable contributions comply with California law in order to protect County and its taxpayers. A contractor which receives or raises charitable contributions without complying with its obligations under California law commits a material breach subjecting it to either contract termination for default or debarment proceedings or both (Los Angeles County Code Chapter 2.202)

N Contractor's Warranty of Adherence to County's Child Support Compliance Program

- 1 Contractor acknowledges that County has established a goal of ensuring that all individuals who benefit financially from County through contracts are in compliance with their court-ordered child, family, and spousal support obligations in order to mitigate the economic burden otherwise imposed upon County and its taxpayers
- 2 As required by County's Child Support Compliance Program (Los Angeles County Code Chapter 2.200), and without limiting Contractor's duty under this Contract to comply with all applicable provisions of law, Contractor warrants that it is now in compliance and shall during the term of this Contract maintain compliance with the employment and wage reporting requirements as required by the Federal Social Security Act (42 USC Section 653a) and California Unemployment Insurance Code Section 1088 5, and shall implement all lawfully served Wage and Earnings Withholding Orders or Child Support Services Department Notices of Wage and Earnings Assignment for Child, Family, or Spousal Support, pursuant to Code of Civil Procedure Section 706 031 and Family Code Section 5246(b)

O County's Quality Assurance Plan

County or its agent will evaluate Contractor's performance under this Contract on not less than an annual basis. Such evaluation will include assessing Contractor's compliance with all this Contract's terms and conditions and performance standards. Contractor deficiencies which County determines are severe or continuing and that may place performance of this Contract in jeopardy, if not corrected, will be reported to the Board. The report will include improvement/corrective action measures taken by County and Contractor. If improvement does not occur consistent with the corrective action measures, County may suspend or terminate this Contract for default or impose other penalties as specified in this Contract.

P Damage to County Facilities, Buildings, or Grounds

- 1 Contractor shall repair, or cause to be repaired, at its own cost, any and all damage to County facilities, buildings, or grounds caused by Contractor or employees or agents of Contractor
- 2 Such repairs shall be made immediately after Contractor has become aware of such damage, but in no event later than 30 days after the occurrence. If Contractor fails to make timely repairs, County may make any necessary repairs. All costs incurred by County, as determined by County, for such repairs shall be repaid by Contractor by cash payment upon demand. County may deduct from any payment otherwise due Contractor for costs incurred by County to make such repairs.

Q Employment Eligibility Verification

- 1 Contractor warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all of its employees performing work under this Contract meet the citizenship or alien status requirements set forth in Federal and State statutes and regulations. Contractor shall obtain, from all covered employees performing services hereunder, all verification and other documentation of employment eligibility status required by Federal and State statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986 (P.L. 99-603), or as they currently exist and as they may be hereafter amended. Contractor shall retain all such documentation for all covered employees for the period prescribed by law.
- 2 Contractor shall indemnify, defend, and hold harmless, County, its Board, agents, officers, and employees from employer sanctions and any other liability which may be assessed against Contractor or County or both in connection with any alleged violation of Federal or State statutes or regulations pertaining to the eligibility for employment of persons performing services under this Contract.

R Facsimile Representations

At the discretion of County, County may agree to regard facsimile representations of original signatures of Contractor's authorized officers, when appearing in appropriate places on the change notices and amendments prepared pursuant to this Exhibit's Amendments, and received via communications facilities, as legally sufficient evidence that such original signatures have been affixed to change notices and amendments to this Contract, such that the Contractor need not follow up facsimile transmissions of such documents with subsequent (nonfacsimile) transmission of "original" versions of such documents.

S Fair Labor Standards

Contractor shall comply with all applicable provisions of the Federal Fair Labor Standards Act and shall indemnify, defend, and hold harmless County and its Board, agents, officers, and employees from any and all liability, including, but not limited to, wages, overtime pay, liquidated damages, penalties, court costs, and attorneys' fees arising under any wage and hour law, including, but not limited to, the Federal Fair Labor Standards Act, for work performed by Contractor's employees for which County may be found jointly or solely liable

T Governing Laws, Jurisdiction, and Venue

This Contract shall be governed by, and construed in accordance with the laws of the State of California. To the maximum extent permitted by applicable law, Contractor and County agree and consent to the exclusive jurisdiction of the courts of the State of California for all purposes concerning this Contract and further agree and consent that venue of any action brought in connection with or arising out of this Contract, shall be exclusively in the County of Los Angeles

U Nondiscrimination and Affirmative Action

- 1 Contractor certifies and agrees that all persons employed by it, its affiliates, subsidiaries, or holding companies are and shall be treated equally without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State antidiscrimination laws and regulations.
- 2 Contractor shall certify to, and comply with, the provisions of Contractor's EEO Certification (Form PW-7)
- 3 Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State antidiscrimination laws and regulations. Such action shall include, but not be limited to, employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection of training, including apprenticeship
- 4 Contractor certifies and agrees that it will deal with its subcontractors, bidders, or vendors without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation

- 5 Contractor certifies and agrees that it, its affiliates, subsidiaries, or holding companies shall comply with all applicable Federal and State laws and regulations to the end that no person shall, on the grounds of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Contract or under any project, program, or activity supported by this Contract.
- 6 Contractor shall allow County representatives access to Contractor's employment records during regular business hours to verify compliance with the provisions of this paragraph when so requested by County
- 7 If County finds that any of the above provisions have been violated, such violation shall constitute a material breach of this Contract upon which County may terminate for default or suspend this Contract. While County reserves the right to determine independently that the antidiscrimination provisions of this Contract have been violated, in addition, a determination by the California Fair Employment Practices Commission or the Federal Equal Employment Opportunity Commission that Contractor has violated Federal or State antidiscrimination laws or regulations shall constitute a finding by County that Contractor has violated the antidiscrimination provisions of this Contract.
- 8 The parties agree that in the event Contractor violates any of the antidiscrimination provisions of this Contract, County shall, at its sole option, be entitled to a sum of \$500 for each violation pursuant to California Civil Code Section 1671 as liquidated damages in lieu of terminating or suspending this Contract.

V Nonexclusivity

Nothing herein is intended nor shall be construed as creating any exclusive arrangement with Contractor. This Contract shall not restrict County from acquiring similar, equal, or like goods and/or services from other entities or sources

W No Payment for Services Provided Following Expiration/Suspension/Termination of Contract

Contractor shall have no claim against County for payment of any money or reimbursement, of any kind whatsoever, for any service provided by Contractor after the expiration, suspension, or other termination of this Contract. Should Contractor receive any such payment, it shall immediately notify County and shall immediately repay all such funds to County. Payment by County for services rendered after expiration/suspension/termination of this Contract shall not

constitute a waiver of County's right to recover such payment from Contractor. This provision shall survive the expiration/suspension/termination of this Contract.

X. Notice of Delays

Except as otherwise provided under this Contract, when either party has knowledge that any actual or potential situation is delaying or threatens to delay the timely performance of this Contract, that party shall, within one business day, give notice thereof, including all relevant information with respect thereto, to the other party

Y. Notice of Disputes

Contractor shall bring to the attention of the Contract Manager any dispute between County and Contractor regarding the performance of services as stated in this Contract. If the Contract Manager is not able to resolve the dispute, the Director will resolve it.

Z. Notice to Employees Regarding the Federal Earned Income Credit

Contractor shall notify its employees, and shall require each subcontractor to notify its employees, that they may be eligible for the Federal Earned Income Credit under the Federal income tax laws. Such notice shall be provided in accordance with the requirements set forth in Internal Revenue Service Notice 1015 (Exhibit C)

AA. Notices

Notices desired or required to be given under these Specifications, Conditions, or Terms herein or any law now or hereafter in effect may, at the option of the party giving the same, be given by enclosing the same in a sealed envelope addressed to the party for whom intended and by depositing such envelope with postage prepaid with the United States Post Office and any such notice and the envelope containing the same shall be addressed to Contractor at its place of business, or such other place as may be hereinafter designated in writing by Contractor. The notices and envelopes containing the same to County shall be addressed to:

Chief, Administrative Services Division  
County of Los Angeles Department of Public Works  
P O Box 1460  
Alhambra, CA 91802-1460

In the event of suspension or termination of this Contract, notices may also be given upon personal delivery to any person whose actual knowledge of such suspension or termination would be sufficient notice to Contractor. Actual

knowledge of such suspension or termination by an individual Contractor or by a copartner, if Contractor is a partnership, or by the president, vice president, secretary, or general manager, if Contractor is a corporation, or by the managing agent regularly in charge of the work on behalf of said Contractor shall in any case be sufficient notice.

BB Publicity

Contractor shall not disclose any details in connection with this Contract to any person or entity except as may be otherwise provided hereunder or required by law. However, in recognizing Contractor's need to identify its services and related clients to sustain itself, County shall not inhibit Contractor from publicizing its role under this Contract within the following conditions.

- 1 Contractor shall develop all publicity material in a professional manner
- 2 During the term of this Contract, Contractor shall not, and shall not authorize another to, publish or disseminate commercial advertisements, press releases, feature articles, or other materials using the name of County without the prior written consent of the Contract Manager. County shall not unreasonably withhold such written consent.
- 3 Contractor may, without prior written consent of County, indicate in its proposals and sales materials that it has been awarded this Contract with County, provided that the requirements of this paragraph shall apply

CC Public Records Act

- 1 Any documents submitted by Contractor; all information obtained in connection with County's right to audit and inspect Contractor's documents, books, and accounting records pursuant to this Exhibit's Record Retention and Inspection/Audit Settlement, of this Contract, as well as those documents which were required to be submitted in response to the RFP used in the solicitation process for this Contract, become the exclusive property of County. All such documents become a matter of public record and shall be regarded as public records, except those documents that are marked "trade secret," "confidential," or "proprietary" and are deemed excluded from disclosure under Government Code 6250 et seq. (Public Records Act). County shall not in any way be liable or responsible for the disclosure of any such records including, with limitation, those so marked, if disclosure is required by law, or by an order issued by a court of competent jurisdiction.
- 2 In the event County is required to defend an action on a Public Records Act request for any of the aforementioned documents, information, books, records, and/or contents of a proposal marked "trade secret,"

"confidential," or "proprietary," Contractor agrees to defend and indemnify County from all costs and expenses, including reasonable attorney's fees, in connection with any requested action or liability arising under the Public Records Act.

DD Record Retention and Inspection/Audit Settlement

Contractor shall maintain accurate and complete financial records of its activities and operations relating to this Contract in accordance with generally accepted accounting principles. Contractor shall also maintain accurate and complete employment and other records relating to its performance of this Contract. Contractor agrees that County, or its authorized representatives, shall have access to and the right to examine, audit, excerpt, copy, or transcribe any pertinent transaction, activity, or record relating to this Contract. All such material, including, but not limited to, all financial records, bank statements, cancelled checks, or other proof of payment, timecards, sign-in/sign-out sheets, and other time and employment records, and proprietary data and information, shall be kept and maintained by Contractor and shall be made available to County during the term of this Contract and for a period of five years thereafter unless County's written permission is given to dispose of any such material prior to such time. All such material shall be maintained by Contractor at a location in County, provided that if any such material is located outside County, then, at County's option, Contractor shall pay County for travel, per diem, and other costs incurred by County to examine, audit, excerpt, copy, or transcribe such material at such other location.

- 1 In the event that an audit of Contractor is conducted specifically regarding this Contract by any Federal or State auditor, or by any auditor or accountant employed by Contractor or otherwise, then Contractor shall file a copy of such audit report with County's Auditor-Controller within 30 days of Contractor's receipt thereof, unless otherwise provided by applicable Federal or State law or under this Contract. Subject to applicable law, County shall make a reasonable effort to maintain the confidentiality of such audit report(s)
- 2 Failure on the part of Contractor to comply with any of the provisions of this paragraph shall constitute a material breach of this Contract upon which County may suspend or terminate for default or suspend this Contract.
- 3 If, at any time during the term of this Contract or within five years after the expiration or termination of this Contract, representatives of County conduct an audit of Contractor regarding the work performed under this Contract, and if such audit finds that County's dollar liability for any such work is less than payments made by County to Contractor, then the difference shall be either: a) repaid by Contractor to County by cash payment upon demand or b) at the sole option of County's Auditor-Controller, deducted from any amounts due to Contractor from County, whether under this Contract or

otherwise. If such audit finds that County's dollar liability for such work is more than the payments made by County to Contractor, then the difference shall be paid to Contractor by County by cash payment, provided that in no event shall County's maximum obligation for this Contract exceed the funds appropriated by County for the purpose of this Contract.

EE Recycled-Content Paper Products

Consistent with Board policy to reduce the amount of solid waste deposited at County landfills, Contractor agrees to use recycled-content paper to the maximum extent possible under this Contract.

FF Subcontracting

The requirements of this Contract may not be subcontracted by Contractor without the advance written approval of County. Any attempt by Contractor to subcontract without the prior written consent of County may be deemed a material breach of this Contract and the County may suspend or terminate for this Contract default.

- 1 If Contractor desires to subcontract, Contractor shall provide the following information promptly at County's request:
  - a A description of the work to be performed by the subcontractor;
  - b A draft copy of the proposed subcontract; and
  - c Other pertinent information and/or certifications requested by County
- 2 Contractor shall indemnify and hold County harmless with respect to the activities of each and every subcontractor in the same manner and to the same degree as if such subcontractor(s) were Contractor employees
- 3 Contractor shall remain fully responsible for all performances required of it under this Contract, including those that the Contractor has determined to subcontract, notwithstanding County's approval of Contractor's proposed subcontract
- 4 County's consent to subcontract shall not waive County's right to prior and continuing approval of any and all personnel, including subcontractor employees, providing services under this Contract. Contractor is responsible to notify its subcontractors of this County right.
- 5 County's Contract Manager is authorized to act for and on behalf of County with respect to approval of any subcontract and subcontractor employees.

6. Contractor shall be solely liable and responsible for all payments or other compensation to all subcontractors and their officers, employees, agents, and successors in interest arising through services performed hereunder, notwithstanding County's consent to subcontract.
7. Contractor shall obtain certificates of insurance, which establish that the subcontractor maintains all the programs of insurance required by County from each approved subcontractor. Contractor shall ensure delivery of all such documents to Administrative Services Division, P O Box 1460, Alhambra, California 91802-1460, before any subcontractor employee may perform any work hereunder.
8. Employee Leasing is prohibited.

GG. Validity

If any provision of this Contract or the application thereof to any person or circumstance is held invalid, the remainder of this Contract and the application of such provision to other persons or circumstances shall not be affected thereby.

HH. Waiver

No waiver by County of any breach of any provision of this Contract shall constitute a waiver of any other breach of said provision or of any other provision of this Contract. Failure of County to enforce at anytime, or from time to time, any provision of this Contract shall not be construed as a waiver thereof.

II. Warranty Against Contingent Fees

1. Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by Contractor for the purpose of securing business.
2. For breach of this warranty, County shall have the right, in its sole discretion, to suspend or terminate this Contract for default, deduct from amounts owing to the Contractor, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

### SECTION 3

#### TERMINATIONS/SUSPENSIONS

A. Termination/Suspension for Breach of Warranty to Maintain Compliance with County's Child Support Compliance Program

Failure of Contractor to maintain compliance with the requirements set forth in this Exhibit's Contractor's Warranty of Adherence to County's Child Support Compliance Program shall constitute a default under this Contract. Without limiting the rights and remedies available to County under any other provision of this Contract, failure of Contractor to cure such default within 90 calendar days of written notice shall be grounds upon which the County may suspend or terminate this Contract pursuant to this Exhibit's Termination/Suspension for Default, and pursue debarment of Contractor pursuant to Los Angeles County Code Chapter 2.202

B. Termination/Suspension for Convenience

- 1 This Contract may be suspended or terminated, in whole or in part, from time to time, when such action is deemed by County, in its sole discretion, to be in its best interest. Suspension or termination of work hereunder shall be effected by notice of suspension or termination to Contractor specifying the extent to which performance of work is suspended or terminated and the date upon which such suspension or termination becomes effective. The date upon which such suspension or termination becomes effective shall be no less than 10 days after the notice is sent.
- 2 After receipt of a notice of suspension or termination and except as otherwise directed by County, Contractor shall
  - a. Stop work under this Contract on the date and to the extent specified in such notice, and
  - b. Complete performance of such part of the work as shall not have been suspended or terminated by such notice
- 3 All material including books, records, documents, or other evidence bearing on the costs and expenses of Contractor under this Contract shall be maintained by Contractor in accordance with this Exhibit's Record Retention and Inspection/Audit Settlement
- 4 If this Contract is suspended or terminated, Contractor shall complete within the Director's suspension or termination date contain within the notice of suspension or termination, those items of work which are in various stages of completion, which the Director has advised the

Contractor are necessary to bring the work to a timely, logical, and orderly end. Reports, samples, and other materials prepared by Contractor under this Contract shall be delivered to County upon request and shall become the property of County.

C Termination/Suspension for Default

1. County may, by written notice to Contractor, suspend or terminate the whole or any part of this Contract, if, in the judgment of the County:
  - a Contractor has materially breached this Contract, or
  - b Contractor fails to timely provide and/or satisfactorily perform any task, deliverable, service, or other work required under this Contract; or
  - c Contractor fails to demonstrate a high probability of timely fulfillment of performance requirements under this Contract, or of any obligations of this Contract and in either case, fails to demonstrate convincing progress toward a cure within five working days (or such longer period as County may authorize in writing) after receipt of written notice from County specifying such failure
- 2 In the event County suspends or terminates this Contract in whole or in part pursuant to this paragraph, County may procure, upon such terms and in such manner, as County may deem appropriate, goods and services similar to those so suspended or terminated. Contractor shall be liable to County for any and all excess costs incurred by County, as determined by County, for such similar goods and services. Contractor shall continue the performance of this Contract to the extent not suspended or terminated under the provisions of this paragraph
- 3 Except with respect to defaults of any Subcontractor, Contractor shall not be liable for any excess costs of the type identified in subparagraph "2" above, if its failure to perform this Contract arises out of causes beyond the control and without the fault or negligence of Contractor. Such causes may include, but are not limited to, acts of God or of the public enemy, acts of County in either its sovereign or contractual capacity, acts of the Federal or State government in its sovereign capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case, the failure to perform must be beyond the control and without the fault or negligence of Contractor. If the failure to perform is caused by the default of a Subcontractor, and if such default arises out of causes beyond the control of both Contractor and Subcontractor, and without the fault or negligence of either of them, Contractor shall not be liable for any such excess costs for failure to

perform, unless the goods or services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit Contractor to meet the required delivery schedule

- 4 If, after County has given notice of termination or suspension under the provisions of this paragraph, it is determined by County that Contractor was not in default under the provisions of this paragraph or that the default was excusable under the provisions of this paragraph, the rights and obligations of the parties shall be the same as if the notice of termination or suspension had been issued pursuant to this Exhibit's Termination/Suspension for Convenience
- 5 The rights and remedies of County provided in this paragraph shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.
- 6 As used herein, the terms "Subcontractor" and "Subcontractors" mean subcontractor at any tier

D Termination/Suspension for Improper Consideration

- 1 County may, by written notice to Contractor, immediately suspend or terminate the right of Contractor to proceed under this Contract if it is found that consideration, in any form, was offered or given by Contractor, either directly or through an intermediary, to any County officer, employee, or agent with the intent of securing this Contract or securing favorable treatment with respect to the award, amendment, extension of this Contract, or the making of any determinations with respect to Contractor's performance pursuant to this Contract. In the event of such termination or suspension, County shall be entitled to pursue those same remedies against Contractor as it could pursue in the event of default by Contractor
- 2 Contractor shall immediately report any attempt by a County officer or employee to solicit such improper consideration. The report shall be made either to County manager charged with the supervision of the employee or to County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861
- 3 Among other items, such improper consideration may take the form of cash, discounts, services, the provision of travel, entertainment, or tangible gifts

E. Termination/Suspension for Insolvency

- 1 County may suspend or terminate this Contract forthwith in the event of the occurrence of any of the following:

- a. Insolvency of Contractor Contractor shall be deemed to be insolvent if it has ceased to pay its debts for at least 60 days in the ordinary course of business or cannot pay its debts as they become due, whether or not a petition has been filed under the Federal Bankruptcy Code, and whether or not Contractor is insolvent within the meaning of the Federal Bankruptcy Code;
  - b. The filing of a voluntary or involuntary bankruptcy petition relative to Contractor under the Federal Bankruptcy Code,
  - c. The appointment of a bankruptcy Receiver or Trustee for Contractor; or
  - d. The execution by Contractor of a general assignment for the benefits of creditors
- 2 The rights and remedies of County provided in this paragraph shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

F Termination/Suspension for Nonadherence to County Lobbyists Ordinance

Contractor, and each County lobbyist or County lobbying firm as defined in Los Angeles County Code Section 2 160 010, retained by Contractor, shall fully comply with County's Lobbyist Ordinance, Los Angeles County Code Chapter 2 160. Failure on the part of Contractor or any County Lobbyists or County Lobbying firm retained by Contractor to fully comply with County's Lobbyist Ordinance shall constitute a material breach of this Contract, upon which County may in its sole discretion, immediately suspend or terminate for default of this Contract.

G Termination/Suspension for Nonappropriation of Funds

Notwithstanding any other provision of this Contract, County shall not be obligated for Contractor's performance hereunder or by any provision of this Contract during any of County's future fiscal years unless and until the Board appropriates funds for this Contract in County's budget for each such future fiscal year. In the event that funds are not appropriated for this Contract, then this Contract may be suspended or terminated as of June 30 of the last fiscal year for which funds were appropriated. County will notify Contractor in writing of any such nonallocation of funds at the earliest possible date.

## SECTION 4

### GENERAL CONDITIONS OF CONTRACT WORK

A. Authority of Public Works and Inspection

The Director will have the final authority in all matters affecting the work covered by this Contract's Terms, Requirement, Conditions, and Specifications. On all questions relating to work acceptability or interpretations of these Terms, Requirements, Conditions, and Specifications, the decision of the Director will be final

B. Cooperation

Contractor shall cooperate with Public Works' forces engaged in any other activities at the jobsite. Contractor shall carry out all work in a diligent manner and according to instructions of the Director

C. Cooperation and Collateral Work

Contractor shall perform work as directed by the Director. The Director will be supported by other Public Works personnel in assuring satisfactory performance of the work under these Specifications and that satisfactory contract controls and conditions are maintained

D. Equipment, Labor, Supervision, and Materials

All equipment, labor, supervision, and materials required to accomplish this Contract, except as might be specifically outlined in other sections, shall be provided by Contractor

E. Gratuitous Work

Contractor agrees that should work be performed outside the Scope of Work indicated and without Public Works' prior written approval in accordance with this Exhibit's Amendments, such work shall be deemed to be a gratuitous effort by Contractor, and Contractor shall have no claim, therefor, against County

F. Jobsite Safety

Contractor shall be solely responsible for ensuring that all work performed under this Contract is performed in strict compliance with all applicable Federal, State, and local occupational safety regulations. Contractor shall provide at its expense all safeguards, safety devices, and protective equipment and shall take any and all actions appropriate to providing a safe jobsite.

G. Labor

No person shall be employed on any work under this Contract who is found to be intemperate, troublesome, disorderly, or is otherwise objectionable to Public Works. Any such person shall be reassigned immediately and not again employed on Public Works' projects or providing services.

H. Labor Law Compliance

Contractor, its agents, and employees shall be bound by and shall comply with all applicable provisions of the Labor Code of the State of California as well as all other applicable Federal, State, and local laws related to labor. Contractor shall comply with Labor Code Section 1777.5 with respect to the employment of apprentices.

I. Overtime

Eight hours labor constitutes a legal day's work. Work in excess thereof, or greater than 40 hours during any one week, shall be permitted only as authorized by and in accordance with Labor Code Section 1815 et seq.

J. Permits/Licenses

Contractor shall be fully responsible for possessing or obtaining all permits/licenses, except as might be specifically outlined in other sections, from the appropriate Federal, State, or local authorities relating to work to be performed under this Contract.

K. Prohibition Against Use of Child Labor

1 Contractor shall.

- a Not knowingly sell or supply to County any products, goods, supply, or other personal property manufactured in violation of child labor standards set by the International Labor Organization through its 1973 Convention Concerning Minimum Age for Employment;
- b Upon request by County, identify the country/countries of origin of any products, goods, supplies, or other personal property Contractor sells or supplies to County;
- c Upon request by County, provide to County the manufacturer's certification of compliance with all international child labor conventions, and
- d Should County discover that any products, goods, supplies, or other personal property sold or supplied by Contractor to County

are produced in violation of any international child labor conventions, Contractor shall immediately provide an alternative, compliant source of supply

- 2 Failure by Contractor to comply with provisions of this paragraph will constitute a material breach of this Contract and will be grounds for immediate suspension or termination of this Contract for default.

L Public Convenience

Contractor shall conduct operations to cause the least possible obstruction and inconvenience to public traffic or disruption to the peace and quiet of the area within which the work is being performed

M Public Safety

It shall be Contractor's responsibility to maintain security against public hazards at all times while performing work at Public Works' jobsites

N Quality of Work

Contractor shall provide the County high and consistent quality work under this Contract and which is at least equivalent to that which Contractor provides to all other clients it serves. All work shall be executed by experienced and well-trained workers. All work shall be under supervision of a well-qualified supervisor. Contractor also agrees that work shall be furnished in a professional manner and according to these Specifications.

O Quantities of Work

Contractor shall be allowed no claims for anticipated profits or for any damages of any sort because of any difference between the work estimated by Contractor in responding to County's solicitation and actual quantities of work done under this Contract or for work decreased or eliminated by County

P Safety Requirements

Contractor shall be responsible for the safety of equipment, material, and personnel under Contractor's jurisdiction during the work.

Q Storage of Material and Equipment

Contractor shall not store material or equipment at the jobsite, except as might be specifically authorized by this Contract. County will not be liable or responsible for any damage, by whatever means, or for the theft of Contractor's material or equipment from any jobsite.

R. Transportation

County will not provide transportation to and from the jobsite and will not provide travel around the limits of the jobsite.

S. Work Area Controls

- 1 Contractor shall comply with all applicable laws and regulations. Contractor shall maintain work area in a neat, orderly, clean, and safe manner. Contractor shall avoid spreading out equipment excessively. Location and layout of all equipment and materials at each jobsite will be subject to the Contract Manager's approval.
- 2 Contractor shall be responsible for the security of any and all of Public Works/County facilities in its care. Contractor shall provide protection against vandalism and accidental and malicious damage, both during working and nonworking hours.

T. Proposal Prices and Agreement of Figures

If the total amount arrived at by multiplying the unit price times the quantity does not agree with the total amount entered for the item or if the total amount is not entered, the unit price and the corrected total amount will be considered as representing the Contractor's intentions. If the total amount is entered for the item, but not the unit price, the unit price will be that which is derived by dividing the total amount proposed for the item by the number of units in the item as representing the Contractor's intentions. If the items are incorrectly calculated, the corrected total will be considered as representing the Contractor's intentions.

U. Negotiation

The County reserves the right to negotiate the terms, conditions, and price of the Proposal(s), in the sole discretion of the County, to achieve the most beneficial program and price for the County. The County, in its sole discretion, may limit the negotiation, if any, to one or more responsive and responsible contractors. If a satisfactory contract cannot be negotiated, the County may, at its sole discretion, begin contract negotiations with the next highest-rated contractor who submitted a proposal, as determined by the County.

## SECTION 5

### INDEMNIFICATION AND INSURANCE REQUIREMENTS

#### A. Independent Contractor Status

- 1 This Contract is by and between County and Contractor and is not intended, and shall not be construed, to create the relationship of agent, servant, employee, partnership, joint venture, or association, as between County and Contractor. The employees and agents of one party shall not be, or be construed to be, the employees or agents of the other party for any purpose whatsoever.
- 2 Contractor shall be solely liable and responsible for providing to, or on behalf of, all persons performing work pursuant to this Contract all compensation and benefits. County shall have no liability or responsibility for the payment of any salaries, wages, unemployment benefits, disability benefits, Federal, State, or local taxes, or other compensation, benefits, or taxes for any personnel provided by or on behalf of Contractor.
- 3 Contractor understands and agrees that all persons performing work pursuant to this Contract are, for purposes of Workers' Compensation liability, solely employees of Contractor and not employees of County. Contractor shall be solely liable and responsible for furnishing any and all Workers' Compensation benefits to any person as a result of any injuries arising from or connected with any work performed by or on behalf of Contractor pursuant to this Contract.

#### B. Indemnification

Contractor shall indemnify, defend, and hold harmless County, its Special Districts, elected and appointed officers, employees, and agents from and against any and all liability, including, but not limited to, demands, claims, actions, fees, costs, and expenses of any nature whatsoever (including attorney and expert witness fees), arising from or connected with Contractor's acts and/or omissions arising from and/or relating to this Contract. This indemnification also shall include any and all intellectual property liability, including copyright infringement and similar claims.

#### C. Workplace Safety Indemnification

In addition to and without limiting the indemnification required by this Exhibit's Section 5.B (above), and to the extent allowed by law, Contractor agrees to defend, indemnify, and hold harmless County, its Board, Special Districts, officers, employees, and agents from and against any and all investigations, complaints, citations, liability, expense (including defense costs and legal fees), claims, and/or causes of action for damages of any nature whatsoever, including, but not limited

to, injury or death to employees of Contractor, its Subcontractors or County, attributable to any alleged act or omission of Contractor and/or its Subcontractors which is in violation of any Cal/OSHA regulation. The obligation to defend, indemnify, and hold harmless County includes all investigations and proceedings associated with purported violations of Section 336.10 of Title 8 of the California Code of Regulations pertaining to multiemployer worksites. Contractor shall not be obligated to indemnify for liability and expenses arising from the active negligence of County. County may deduct from any payment otherwise due Contractor any costs incurred or anticipated to be incurred by County, including legal fees and staff costs, associated with any investigation or enforcement proceeding brought by Cal/OSHA arising out of the work being performed by Contractor under this Contract.

D General Insurance Requirements

- 1 Without limiting Contractor's indemnification of County, and in the performance of this Contract and until all of its obligations pursuant to this Contract have been met, Contractor shall provide and maintain at its own expense insurance coverage satisfying the requirements specified in this Paragraph and Paragraph E of this Section. These minimum insurance coverage terms, types and limits (the "Required Insurance") also are in addition to and separate from any other contractual obligation imposed upon Contractor pursuant to this Contract. The County in no way warrants that the Required Insurance is sufficient to protect the Contractor for liabilities which may arise from or relate to this Contract.
- 2 Evidence of Coverage and Notice to County - A certificate(s) of insurance coverage (Certificate) satisfactory to County, and a copy of an Additional Insured endorsement confirming the County of Los Angeles, its Special Districts, Elected Officials, Officers, Agents, Employees and Volunteers (collectively County and its Agents) has been given Insured status under the Contractor's General Liability policy, shall be delivered to County at the address shown below and provided prior to commencing services under this Contract.
  - a Renewal Certificates shall be provided to County not less than 10 days prior to Contractor's policy expiration dates. The County reserves the right to obtain complete, certified copies of any required Contractor and/or Sub-Contractor insurance policies at any time.
  - b Certificates shall identify all Required Insurance coverage types and limits specified herein, reference this Contract by name or number, and be signed by an authorized representative of the insurer(s). The Insured party named on the Certificate shall match the name of the Contractor identified as the contracting party in this

Contract. Certificates shall provide the full name of each insurer providing coverage, its NAIC (National Association of Insurance Commissioners) identification number, its financial rating, the amounts of any policy deductibles or self-insured retentions exceeding fifty thousand (\$50,000 00) dollars, and list any County required endorsement forms.

- c. Neither the County's failure to obtain, nor the County's receipt of, or failure to object to a non-complying insurance certificate or endorsement, or any other insurance documentation or information provided by the Contractor, its insurance broker(s) and/or insurer(s), shall be construed as a waiver of any of the Required Insurance provisions
- d. Certificates and copies of any required endorsements shall be sent to

County of Los Angeles  
Department of Public Works, Administrative Services Division  
P O Box 1460  
Alhambra, California 91802-1460  
Attention of Ms Barbara Baiz, Contract Manager

- e. Contractor also shall promptly report to County any injury or property damage accident or incident, including any injury to a Contractor employee occurring on County property, and any loss, disappearance, destruction, misuse, or theft of County property, monies or securities entrusted to Contractor. Contractor also shall promptly notify County of any third party claim or suit filed against Contractor or any of its Sub-Contractors which arises from or relates to this Contract, and could result in the filing of a claim or lawsuit against Contractor and/or County

- 3. Additional Insured Status and Scope of Coverage - The County of Los Angeles, its Special Districts, Elected Officials, Officers, Agents, Employees and Volunteers (collectively County and its Agents) shall be provided additional insured status under Contractor's General Liability policy with respect to liability arising out of Contractor's ongoing and completed operations performed on behalf of the County. County and its Agents additional insured status shall apply with respect to liability and defense of suits arising out of the Contractor's acts or omissions, whether such liability is attributable to the Contractor or to the County. The full policy limits and scope of protection also shall apply to the County and its Agents as an additional insured, even if they exceed the County's minimum Required Insurance specifications herein. Use of an automatic

additional insured endorsement form is acceptable providing it satisfies the Required Insurance provisions herein

4. Cancellation of Insurance. Except in the case of cancellation for non-payment of premium, Contractor's insurance policies shall provide, and Certificates shall specify, that County shall receive not less than thirty (30) days advance written notice by mail of any cancellation of the Required Insurance. Ten (10) days prior notice may be given to County in event of cancellation for non-payment of premium
5. Failure to Maintain Insurance. Contractor's failure to maintain or to provide acceptable evidence that it maintains the Required Insurance shall constitute a material breach of the Contract, upon which County immediately may withhold payments due to Contractor, and/or suspend or terminate this Contract. County, at its sole discretion, may obtain damages from Contractor resulting from said breach.
6. Insurer Financial Ratings. Coverage shall be placed with insurers acceptable to the County with A.M. Best ratings of not less than A.VII unless otherwise approved by County
7. Contractor's Insurance Shall Be Primary. Contractor's insurance policies, with respect to any claims related to this Contract, shall be primary with respect to all other sources of coverage available to Contractor. Any County maintained insurance or self-insurance coverage shall be in excess of and not contribute to any Contractor coverage
8. Waivers of Subrogation. To the fullest extent permitted by law, the Contractor hereby waives its rights and its insurer(s)' rights of recovery against County under all the Required Insurance for any loss arising from or relating to this Contract. The Contractor shall require its insurers to execute any waiver of subrogation endorsements which may be necessary to effect such waiver
9. Sub-Contractor Insurance Coverage Requirements. Contractor shall include all Sub-Contractors as insureds under Contractor's own policies, or shall provide County with each Sub-Contractor's separate evidence of insurance coverage. Contractor shall be responsible for verifying each Sub-Contractor complies with the Required Insurance provisions herein, and shall require that each Sub-Contractor name the County and Contractor as additional insureds on the Sub-Contractor's General Liability policy. Contractor shall obtain County's prior review and approval of any Sub-Contractor request for modification of the Required Insurance

- 10 Deductibles and Self-Insured Retentions (SIRs) Contractor's policies shall not obligate the County to pay any portion of any Contractor deductible or SIR. The County retains the right to require Contractor to reduce or eliminate policy deductibles and SIRs as respects the County, or to provide a bond guaranteeing Contractor's payment of all deductibles and SIRs, including all related claims investigation, administration and defense expenses. Such bond shall be executed by a corporate surety licensed to transact business in the State of California.
- 11 Claims Made Coverage. If any part of the Required Insurance is written on a claims made basis, any policy retroactive date shall precede the effective date of this Contract. Contractor understands and agrees it shall maintain such coverage for a period of not less than three (3) years following Contract expiration, termination or cancellation.
- 12 Application of Excess Liability Coverage. Contractors may use a combination of primary, and excess insurance policies which provide coverage as broad as ("follow form" over) the underlying primary policies, to satisfy the Required Insurance provisions.
- 13 Separation of Insureds. All liability policies shall provide cross-liability coverage as would be afforded by the standard ISO (Insurance Services Office, Inc.) separation of insureds provision with no insured versus insured exclusions or limitations.
- 14 Alternative Risk Financing Programs. The County reserves the right to review, and then approve, Contractor use of self-insurance, risk retention groups, risk purchasing groups, pooling arrangements and captive insurance to satisfy the Required Insurance provisions. The County and its Agents shall be designated as an Additional Covered Party under any approved program.
- 15 County Review and Approval of Insurance Requirements. The County reserves the right to review and adjust the Required Insurance provisions, conditioned upon County's determination of changes in risk exposures.

E Insurance Coverage Requirements

- 1 Commercial General Liability insurance (providing scope of coverage equivalent to ISO policy form CG 00 01), naming County and its Agents as an additional insured, with limits of not less than

General Aggregate	\$2 million
Products/Completed Operations Aggregate	\$1 million
Personal and Advertising Injury	\$1 million

\$1 million

Each Occurrence.

- 2 Automobile Liability insurance (providing scope of coverage equivalent to ISO policy form CA 00 01) with limits of not less than \$1 million for bodily injury and property damage, in combined or equivalent split limits, for each single accident. Insurance shall cover liability arising out of Contractor's use of autos pursuant to this Contract, including owned, leased, hired, and/or non-owned autos, as each may be applicable
- 3 Workers Compensation and Employers' Liability insurance or qualified self-insurance satisfying statutory requirements, which includes Employers' Liability coverage with limits of not less than \$1 million per accident. If Contractor will provide leased employees, or, is an employee leasing or temporary staffing firm or a professional employer organization (PEO), coverage also shall include an Alternate Employer Endorsement (PEO), coverage also shall include an Alternate Employer Endorsement (PEO) naming the County as the Alternate Employer, and the endorsement form shall be modified to provide that County will receive not less than thirty (30) days advance written notice of cancellation of this coverage provision. If applicable to Contractor's operations, coverage also shall be arranged to satisfy the requirements of any federal workers or workmen's compensation law or any federal occupational disease law
- 4 Property Coverage. Contractors given exclusive use of County owned or leased property shall carry coverage at least as broad as that provided by the ISO special causes of loss (ISO policy form CP 10 30) form. The County and its Agents shall be named as an Additional Insured and Loss Payee on Contractor's insurance as its interests may appear. Automobiles and mobile equipment shall be insured for their actual cash value. Real property and all other personal property shall be insured for their full replacement value.
- 5 Pollution Liability Insurance Such insurance shall cover liability arising from the release, discharge, escape, dispersal or emission of pollutants, whether gradual or sudden, and include coverage for the costs and expenses associated with voluntary clean-up, testing, monitoring and treatment of pollutants in compliance with governmental mandate or requests. Motor vehicle pollution liability will be required under the Automobile Liability Insurance indicated above for removal of pollutants from work site. Contractor shall maintain limits of not less than \$2 million per occurrence and \$4 million aggregate.

## SECTION 6

### CONTRACTOR RESPONSIBILITY AND DEBARMENT

A. Responsible Contractor

A responsible Contractor is a Contractor who has demonstrated the attribute of trustworthiness as well as quality, fitness, capacity, and experience to satisfactorily perform the contract. It is County's policy to conduct business only with responsible contractors.

B. Chapter 2.202 of County Code

Contractor is hereby notified that, in accordance with Chapter 2.202 of County Code, if County acquires information concerning the performance of Contractor on this or other contracts which indicates that Contractor is not responsible, County may, in addition to other remedies provided in this Contract, debar Contractor from bidding or proposing on, being awarded, and/or performing work on County contracts for a specified period of time, which generally will not exceed five years but may exceed five years or be permanent if warranted by the circumstances, and suspend or terminate any or all existing contracts Contractor may have with County.

C. Nonresponsible Contractor

County may debar a contractor if the Board finds, in its discretion, that Contractor has done any of the following: (1) violated any term of a contract with County or a nonprofit corporation created by County; (2) committed an act or omission which negatively reflects on Contractor's quality, fitness, or capacity to perform a contract with County, any other public entity, or a nonprofit corporation created by County, or engaged in a pattern or practice which negatively reflects on same; (3) committed an act or offense which indicates a lack of business integrity or business honesty; or (4) made or submitted a false claim against County or any other public entity.

D. Contractor Hearing Board

1. If there is evidence that Contractor may be subject to debarment, Public Works will notify Contractor in writing of the evidence which is the basis for the proposed debarment and will advise Contractor of the scheduled date for a debarment hearing before Contractor Hearing Board.
2. Contractor Hearing Board will conduct a hearing where evidence on the proposed debarment is presented. Contractor and/or Contractor's representative shall be given an opportunity to submit evidence at that hearing. After the hearing, Contractor Hearing Board will prepare a

tentative proposed decision, which shall contain a recommendation regarding whether Contractor should be debarred, and, if so, the appropriate length of time of the debarment. Contractor and Public Works shall be provided an opportunity to object to the tentative proposed decision prior to its presentation to the Board

3 After consideration of any objections, or if no objections are submitted, a record of the hearing, the proposed decision, and any other recommendation of Contractor Hearing Board shall be presented to the Board. The Board shall have the right to modify, deny, or adopt the proposed decision and recommendation of Contractor Hearing Board

4 If a contractor has been debarred for a period longer than five years, that contractor may, after the debarment has been in effect for at least five years, submit a written request for review of the debarment determination to reduce the period of debarment or terminate the debarment. County may, in its discretion, reduce the period of debarment or terminate the debarment if it finds that Contractor has adequately demonstrated one or more of the following: (1) elimination of the grounds for which the debarment was imposed; (2) a bona fide change in ownership or management; (3) material evidence discovered after debarment was imposed; or (4) any other reason that is in the best interests of County

5 Contractor Hearing Board will consider a request for review of a debarment determination only where (1) Contractor has been debarred for a period longer than five years, (2) the debarment has been in effect for at least five years, and (3) the request is in writing, states one or more of the grounds for reduction of the debarment period or termination of the debarment, and includes supporting documentation. Upon receiving an appropriate request, Contractor Hearing Board will provide notice of the hearing on the request. At the hearing, Contractor Hearing Board shall conduct a hearing where evidence on the proposed reduction of debarment period or termination of debarment is presented. This hearing shall be conducted and the request for review decided by Contractor Hearing Board pursuant to the same procedure as for a debarment hearing.

6 Contractor Hearing Board's proposed decision shall contain a recommendation on the request to reduce the period of debarment or terminate the debarment. Contractor Hearing Board shall present its proposed decision and recommendation to the Board. The Board shall have the right to modify, deny, or adopt the proposed decision and recommendation of Contractor Hearing Board

E Subcontractors of Contractor

These terms shall also apply to subcontractors of County contractors

## SECTION 7

### COMPLIANCE WITH COUNTY'S JURY SERVICE PROGRAM

#### A. Jury Service Program

This Contract is subject to the provisions of County's ordinance entitled Contractor Employee Jury Service (Jury Service Program) as codified in Sections 2.203.010 through 2.203.090 of the Los Angeles County Code

#### B. Written Employee Jury Service Policy

- 1 Unless Contractor has demonstrated to County's satisfaction either that Contractor is not a "Contractor" as defined under the Jury Service Program (Section 2.203.020 of County Code) or that Contractor qualifies for an exception to the Jury Service Program (Section 2.203.070 of County Code), Contractor shall have and adhere to a written policy that provides that its Employees shall receive from Contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that Employee deposit any fees received for such jury service with Contractor or that Contractor deduct from the Employee's regular pay the fees received for jury service.
- 2 For purposes of this Section, "Contractor" means a person, partnership, corporation, or other entity which has a contract with County or a subcontract with a County contractor and has received or will receive an aggregate sum of \$50,000 or more in any 12-month period under one or more County contracts or subcontracts. "Employee" means any California resident who is a full-time employee of Contractor. "Full-time" means 40 hours or more worked per week, or a lesser number of hours if: 1) the lesser number is a recognized industry standard as determined by County, or 2) Contractor has a long-standing practice that defines the lesser number of hours as full-time. Full-time employees providing short-term, temporary services of 90 days or less within a 12-month period are not considered full-time for purposes of the Jury Service Program. If Contractor uses any subcontractor to perform services for County under this Contract, the subcontractor shall also be subject to the provisions of this Section. The provisions of this Section shall be inserted into any such subcontract agreement and a copy of the Jury Service Program shall be attached to the agreement.
- 3 If Contractor is not required to comply with the Jury Service Program when this Contract commences, Contractor shall have a continuing obligation to review the applicability of its "exception status" from the Jury Service Program, and Contractor shall immediately notify County if Contractor at any time either comes within the Jury Service Program's definition of

"Contractor" or if Contractor no longer qualifies for an exception to the Jury Service Program. In either event, Contractor shall immediately implement a written policy consistent with the Jury Service Program. County may also require, at any time during this Contract and at its sole discretion, that Contractor demonstrate to County's satisfaction that Contractor either continues to remain outside of the Jury Service Program's definition of "Contractor" and/or that Contractor continues to qualify for an exception to the Jury Service Program.

- 4 Contractor's violation of this Section of this Contract may constitute a material breach of this Contract. In the event of such material breach, County may, in its sole discretion, suspend or terminate this Contract and/or bar Contractor from the award of future County contracts for a period of time consistent with the seriousness of the breach.

## SECTION 8

### SAFELY SURRENDERED BABY LAW PROGRAM

A. Contractor's Acknowledgment of County's Commitment to the Safely Surrendered Baby Law

Contractor acknowledges that County places a high priority on the implementation of the Safely Surrendered Baby Law. Contractor understands that it is County's policy to encourage all County contractors to voluntarily post County's "Safely Surrendered Baby Law" poster in a prominent position at Contractor's place of business. Contractor will also encourage its subcontractors, if any, to post this poster in a prominent position in the subcontractor's place of business. County's Department of Children and Family Services will supply Contractor with the poster to be used. Information on how to receive the poster can be found on the Internet at [www.babysafela.org](http://www.babysafela.org).

B. Notice to Employees Regarding the Safely Surrendered Baby Law

Contractor shall notify and provide to its employees, and shall require each subcontractor to notify and provide to its employees, a fact sheet regarding the Safely Surrendered Baby Law, its implementation in County, and where and how to safely surrender a baby. The fact sheet is set forth in Exhibit D of this Contract and is also available on the Internet at [www.babysafela.org](http://www.babysafela.org) for printing purposes.

## SECTION 9

### TRANSITIONAL JOB OPPORTUNITIES PREFERENCE PROGRAM

This Contract is subject to the provisions of the County's ordinance entitled Transitional Job Opportunities Preference Program, as codified in Chapter 2.205 of the Los Angeles County Code

Contractor shall not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as a Transitional Job Opportunity vendor

Contractor shall not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as a Transitional Job Opportunities vendor

If Contractor has obtained County certification as a Transitional Job Opportunities vendor by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Contract to which it would not otherwise have been entitled, shall:

- 1 Pay to the County any difference between the contract amount and what the County's costs would have been if the contract had been properly awarded,
2. In addition to the amount described in subdivision (1), be assessed a penalty in the amount of not more than ten percent of the amount of this Contract; and
- 3 Be subject to the provisions of Chapter 2.202 of the Los Angeles County Code (Determinations of Contractor Nonresponsibility and Contractor Debarment)

The above penalties shall also apply to any entity that has previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify Public Works of this information prior to responding to a solicitation or accepting a contract award

**SECTION 10**

**LOCAL SMALL BUSINESS ENTERPRISE (SBE) PREFERENCE PROGRAM**

- A. This Contract is subject to the provisions of County's ordinance entitled Local Small Business Enterprise Preference Program, as codified in Chapter 2.204 of the Los Angeles County Code.
- B. Contractor shall not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as a Local Small Business Enterprise
- C. Contractor shall not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as a Local Small Business Enterprise
- D. If Contractor has obtained County certification as a Local Small Business Enterprise by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Contract to which it would not otherwise have been entitled, shall
  - 1. Pay to County any difference between this Contract amount and what County's costs would have been if this Contract had been properly awarded,
  - 2. In addition to the amount described in subdivision (1), be assessed a penalty in an amount of not more than 10 percent of the amount of this Contract; and
  - 3. Be subject to the provisions of Chapter 2.202 of the Los Angeles County Code (Determinations of Contractor Nonresponsibility and Contractor Debarment)
- E. The above penalties shall also apply if Contractor is no longer eligible for certification as a result of a change of its status and Contractor failed to notify the State and County's Office of Affirmative Action Compliance of this information.

## SECTION 11

### PROPRIETARY CONSIDERATIONS

#### A. Ownership of County Materials

Contractor and County agree that all materials, including, but not limited to, designs, specifications, techniques, plans, reports, deliverables, data photographs, diagrams, maps, images, graphics, text, videos, advertising, software, source codes, website plans and designs, interactive media, drafts, working papers, outlines, sketches, summaries, edited and/or unedited versions of deliverables, and any other materials or information developed under this Contract and any and all Intellectual Property rights to these materials, including any copyrights, trademarks, service marks, trade secrets, trade names, unpatented inventions, patent applications, patents, design rights, domain rights, know-how, and any other proprietary rights and derivatives thereof, is and shall be the sole property of County (hereafter collectively, "County Materials") Contractor hereby assigns and transfers to County all Contractor's rights, titles, and interest in and to all such County Materials developed under this Contract

Notwithstanding such County ownership in the County Materials, Contractor may retain possession of working papers and materials prepared by Contractor under this Contract. During and for a minimum of five years subsequent to the term of this Contract, County shall have the right to inspect any and all such working papers and materials, make copies thereof and use the working papers and materials and the information contained therein.

#### B. Transfer to County

Contractor shall execute all documents requested by County and shall perform all other acts requested by County to assign and transfer to, and vest in County, all Contractor's rights, titles, and interest in and to the County Materials, including, but not limited to, any and all copyrights, trademarks, service marks, trade names, unpatented inventions, patent applications, patents, design rights, domain name rights, know-how, and any other proprietary rights and derivatives thereof resulting from this Contract. County shall have the right to register all applicable copyrights, trademarks and patents in the name of the County of Los Angeles. Further, County shall have the right to assign, license, or otherwise transfer any and all County's rights, titles, and interest, including, but not limited to, copyrights, trademarks, and patents, in and to the County Materials.

#### C. Indemnity

Contractor represents and warrants that the County Materials prepared herein under this Contract, is the original work of Contractor and does not infringe upon any Intellectual Property or proprietary rights of third parties. For those portions of

the County Materials that are not the original work of Contractor, Contractor represents and warrants that it has secured all appropriate licenses, rights, and/or permission from appropriate third parties to include such materials in the County Materials.

Contractor shall defend, indemnify and hold County harmless against any claims by third parties based on infringement of copyright, patent, trade secret, trademark, or any other claimed Intellectual Property or proprietary right, arising from County's use of County Materials created and/or prepared by Contractor. Contractor will also indemnify and defend at its sole expense, any action brought against County based on a claim that County Materials furnished hereunder by Contractor and used within the scope of this Contract infringe any copyright, patent, trade secret, trademark, or any other claimed intellectual property or proprietary right of third parties, and Contractor shall pay any costs, damages and attorney's fees incurred by County. County will notify Contractor promptly and in writing of any such action or claim and will permit Contractor to fully participate in the defense thereof.

D. Copyright Notices

Contractor shall affix the following notice to all County Materials. "@ Copyright 2007 (or such other appropriate date of first publication), County of Los Angeles All Rights Reserved." Contractor shall affix such notice on the title page of all images, photographs, documents and writings, and otherwise as County may direct.

E. Acknowledgement/Attribution

County shall also have the sole right to control the preparation, modification and revisions to, all acknowledgment and/or attribution language for all County Materials resulting from this Contract. County will however, exercise reasonable efforts to honor requests by Contractor seeking removal of all acknowledgment and/or attribution language relating to the Contractor, should Contractor no longer wish to receive attribution for its work on the County Materials.



Department of the Treasury  
Internal Revenue Service

## Notice 1015

(Rev. December 2008)

### Have You Told Your Employees About the Earned Income Credit (EIC)?

#### What Is the EIC?

The EIC is a refundable tax credit for certain workers.

#### Which Employees Must I Notify About the EIC?

You must notify each employee who worked for you at any time during the year and from whom you did not withhold income tax. However, you do not have to notify any employee who claimed exemption from withholding on Form W-4, Employee's Withholding Allowance Certificate.

**Note.** You are encouraged to notify each employee whose wages for 2008 are less than \$41,646 that he or she may be eligible for the EIC.

#### How and When Must I Notify My Employees?

You must give the employee one of the following:

- The IRS Form W-2, Wage and Tax Statement, which has the required information about the EIC on the back of Copy B.
- A substitute Form W-2 with the same EIC information on the back of the employee's copy that is on Copy B of the IRS Form W-2
- Notice 797, Possible Federal Tax Refund Due to the Earned Income Credit (EIC).
- Your written statement with the same wording as Notice 797

If you are required to give Form W-2 and do so on time, no further notice is necessary if the Form W-2 has the required information about the EIC on the back of the employee's copy. If a substitute Form W-2 is given on time but does not have the required information, you must notify the employee within 1 week of the date the substitute Form W-2 is given. If Form W-2 is required but is not given on time, you must give the employee Notice 797 or your written statement by the date Form W-2 is required to be given. If Form W-2 is not required, you must notify the employee by February 9, 2009.

You must hand the notice directly to the employee or send it by First-Class Mail to the employee's last known address. You will not meet the notification requirements by posting Notice 797 on an employee bulletin board or sending it through office mail. However, you may want to post the notice to help inform all employees of the EIC. You can get copies of the notice from the IRS website at [www.irs.gov](http://www.irs.gov) or by calling 1-800-829-3676.

#### How Will My Employees Know If They Can Claim the EIC?

The basic requirements are covered in Notice 797. For more detailed information, the employee needs to see the 2008 instructions for Form 1040, 1040A, 1040EZ, or Pub. 596, Earned Income Credit (EIC).

#### How Do My Employees Claim the EIC?

Eligible employees claim the EIC on their 2008 tax return. Even employees who have no tax withheld from their pay or owe no tax can claim the EIC and get a refund, but they must file a tax return to do so. For example, if an employee has no tax withheld in 2008 and owes no tax but is eligible for a credit of \$825, he or she must file a 2008 tax return to get the \$825 refund.

#### How Do My Employees Get Advance EIC Payments?

Eligible employees who expect to have a qualifying child for 2009 can get part of the credit with their pay during the year by giving you a completed Form W-5, Earned Income Credit Advance Payment Certificate. You must include advance EIC payments with wages paid to these employees, but the payments are not wages and are not subject to payroll taxes. Generally, the payments are made from withheld income, social security, and Medicare taxes. For details, see Pub. 15 (Circular E), Employer's Tax Guide.

# *Safely* Surrendered *Baby Law*



*Babies can be safely surrendered  
to staff at any hospital or fire station in Los Angeles County*

FOR MORE INFORMATION, CALL 213-241-1234

LOS ANGELES COUNTY DEPARTMENT OF PUBLIC HEALTH



# Safely Surrendered Baby Law

California's Safely Surrendered Baby Law allows parents or other persons, with lawful custody, which means anyone to whom the parent has given permission to confidentially surrender a baby. As long as the baby is three days (72 hours) of age or younger and has not been abused or neglected, the baby may be surrendered without fear of arrest or prosecution.

*Every baby deserves a chance for a healthy life. If someone you know is considering abandoning a baby, let her know there are other options. For three days (72 hours) after birth, a baby can be surrendered to staff at any hospital or fire station in Los Angeles County.*

## How does it work?

A distressed parent who is unable or unwilling to care for a baby can legally, confidentially, and safely surrender a baby within three days (72 hours) of birth. The baby must be handed to an employee at a hospital or fire station in Los Angeles County. As long as the baby shows no sign of abuse or neglect, no name or other information is required. In case the parent changes his or her mind at a later date and wants the baby back, staff will use bracelets to help connect them to each other. One bracelet will be placed on the baby, and a matching bracelet will be given to the parent or other surrendering adult.

## What if a parent wants the baby back?

Parents who change their minds can begin the process of reclaiming their baby within 14 days. These parents should call the Los Angeles County Department of Children and Family Services at 1-800-540-4000.

## Can only a parent bring in the baby?

No. While in most cases a parent will bring in the baby, the Law allows other people to bring in the baby if they have lawful custody.

## Does the parent or surrendering adult have to call before bringing in the baby?

No. A parent or surrendering adult can bring in a baby anytime, 24 hours a day, 7 days a week, as long as the parent or surrendering adult surrenders the baby to someone who works at the hospital or fire station.

## Does the parent or surrendering adult have to tell anything to the people taking the baby?

No. However, hospital or fire station personnel will ask the surrendering party to fill out a questionnaire designed to gather important medical history information, which is very useful in caring for the baby. The questionnaire includes a stamped return envelope and can be sent in at a later time.

## What happens to the baby?

The baby will be examined and given medical treatment. Upon release from the hospital, social workers immediately place the baby in a safe and loving home and begin the adoption process.

## What happens to the parent or surrendering adult?

Once the parent or surrendering adult surrenders the baby to hospital or fire station personnel, they may leave at any time.

## Why is California doing this?

The purpose of the Safely Surrendered Baby Law is to protect babies from being abandoned, hurt or killed by their parents. You may have heard tragic stories of babies left in dumpsters or public bathrooms. Their parents may have been under severe emotional distress. The mothers may have hidden their pregnancies, fearful of what would happen if their families found out. Because they were afraid and had no one or nowhere to turn for help, they abandoned their babies. Abandoning a baby is illegal and places the baby in extreme danger. Too often, it results in the baby's death. The Safely Surrendered Baby Law prevents this tragedy from ever happening again in California.

## A baby's story

Early in the morning on April 9, 2005, a healthy baby boy was safely surrendered to nurses at Harbor-UCLA Medical Center. The woman who brought the baby to the hospital identified herself as the baby's aunt and stated the baby's mother had asked her to bring the baby to the hospital on her behalf. The aunt was given a bracelet with a number matching the anklet placed on the baby; this would provide some identification in the event the mother changed her mind about surrendering the baby and wished to reclaim the baby in the 14-day period allowed by the Law. The aunt was also provided with a medical questionnaire and said she would have the mother complete and mail back in the stamped return envelope provided. The baby was examined by medical staff and pronounced healthy and full-term. He was placed with a loving family that had been approved to adopt him by the Department of Children and Family Services.

# *Ley de* Entrega de Bebés *Sin Peligro*



*Los recién nacidos pueden ser entregados en forma segura al personal de cualquier hospital o cuartel de bomberos del Condado de Los Angeles*

# Ley de Entrega de Bebés

*Sin Peligro*

*Algunos bebés abandonados en el hospital*

La Ley de Entrega de Bebés sin Peligro de California permite la entrega confidencial de un recién nacido por parte de sus padres u otras personas con custodia legal, es decir cualquier persona a quien los padres le hayan dado permiso. Siempre que el bebé tenga tres días (72 horas) de vida o menos, y no haya sufrido abuso ni negligencia, pueden entregar al recién nacido sin temor de ser arrestados o procesados.

*Cada recién nacido se merece la oportunidad de tener una vida saludable. Si alguien que usted conoce está pensando en abandonar a un recién nacido, infórmele que tiene otras opciones. Hasta tres días (72 horas) después del nacimiento, se puede entregar un recién nacido al personal de cualquier hospital o cuartel de bomberos del condado de Los Angeles.*

## ¿Cómo funciona?

El padre/madre con dificultades que no pueda o no quiera cuidar de su recién nacido puede entregarlo en forma legal, confidencial y segura dentro de los tres días (72 horas) del nacimiento. El bebé debe ser entregado a un empleado de cualquier hospital o cuartel de bomberos del Condado de Los Angeles. Siempre que el bebé no presente signos de abuso o negligencia, no será necesario suministrar nombres ni información alguna. Si el padre/madre cambia de opinión posteriormente y desea recuperar a su bebé, los trabajadores utilizarán brazaletes para poder vincularlos. El bebé llevará un brazalete y el padre/madre o el adulto que lo entregue recibirá un brazalete igual.

## ¿Qué pasa si el padre/madre desea recuperar a su bebé?

Los padres que cambien de opinión pueden comenzar el proceso de reclamar a su recién nacido dentro de los 14 días. Estos padres deberán llamar al Departamento de Servicios para Niños y Familias (Department of Children and Family Services) del Condado de Los Angeles al 1-800-540-4000.

## ¿Sólo los padres podrán llevar al recién nacido?

No. Si bien en la mayoría de los casos son los padres los que llevan al bebé, la ley permite que otras personas lo hagan si tienen custodia legal.

## ¿Los padres o el adulto que entrega al bebé deben llamar antes de llevar al bebé?

No. El padre/madre o adulto puede llevar al bebé en cualquier momento, las 24 horas del día, los 7 días de la semana, siempre y cuando entreguen a su bebé a un empleado del hospital o cuartel de bomberos.

## ¿Es necesario que el padre/madre o adulto diga algo a las personas que reciben al bebé?

No. Sin embargo, el personal del hospital o cuartel de bomberos le pedirá a la persona que entregue al bebé que llene un cuestionario con la finalidad de recabar antecedentes médicos importantes, que resultan de gran utilidad para cuidar bien del bebé. El cuestionario incluye un sobre con el sello postal pagado para enviarlo en otro momento.

## ¿Qué pasará con el bebé?

El bebé será examinado y le brindarán atención médica. Cuando le den el alta del hospital, los trabajadores sociales inmediatamente ubicarán al bebé en un hogar seguro donde estará bien atendido, y se comenzará el proceso de adopción.

## ¿Qué pasará con el padre/madre o adulto que entregue al bebé?

Una vez que los padres o adulto hayan entregado al bebé al personal del hospital o cuartel de bomberos, pueden irse en cualquier momento.

## ¿Por qué se está haciendo esto en California?

La finalidad de la Ley de Entrega de Bebés sin Peligro es proteger a los bebés para que no sean abandonados, lastimados o muertos por sus padres. Usted probablemente haya escuchado historias trágicas sobre bebés abandonados en basureros o en baños públicos. Los padres de esos bebés probablemente hayan estado pasando por dificultades emocionales graves. Las madres pueden haber ocultado su embarazo, por temor a lo que pasaría si sus familias se enteraran. Abandonaron a sus bebés porque tenían miedo y no tenían nadie a quien pedir ayuda. El abandono de un recién nacido es ilegal y pone al bebé en una situación de peligro extremo. Muy a menudo el abandono provoca la muerte del bebé. La Ley de Entrega de Bebés sin Peligro impide que vuelva a suceder esta tragedia en California.

## Historia de un bebé

A la mañana temprana del día 9 de abril de 2005, se entregó un recién nacido saludable a las enfermeras del Harbor-UCTA Medical Center. La mujer que llevó el recién nacido al hospital se dio a conocer como la tía del bebé, y dijo que la madre le había pedido que llevara al bebé al hospital en su nombre. Le entregaron a la tía un brazalete con un número que coincidía con la pulsera del bebé; esto serviría como identificación en caso de que la madre cambiara de opinión con respecto a la entrega del bebé y decidiera recuperarlo dentro del período de 14 días que permite esta ley. También le dieron a la tía un cuestionario médico, y ella dijo que la madre lo llenaría y lo enviaría de vuelta dentro del sobre con franqueo pagado que le habían dado. El personal médico examinó al bebé y se determinó que estaba saludable y a término. El bebé fue ubicado con una buena familia que ya había sido aprobada para adoptarlo por el Departamento de Servicios para Niños y Familias.

**TABLE NO.1  
DRILLING SERVICES**

Company's Name \_\_\_\_\_ Signature of Proposer \_\_\_\_\_ Date \_\_\_\_\_

The Proposer is required to complete this form. Attach additional sheets, if necessary, to list and describe other rigs that are not listed in the Scope of Work. **It is not expected that the Proposer will be able to perform all of the tasks below to be selected.**

Type of Rig	No. of Rigs	Min/Max Bore Diameter	Maximum Depth of Penetration	Remarks*
A. Rotary Core				
B. Becker Hammer				
C. CPT				
D. Hollow Stem				
E. Bucket Auger				
F. Percussion Drill				
G. Sonic Drill				
H. Geoprobe				
I. Limited Access/ All Terrain				
J. Hillside Drill				
K. Well Development				

\* Describe special features of equipment, limitations, expertise, and other information deemed relevant.

**TABLE NO. 2  
WORK TO BE DONE**

Company's Name \_\_\_\_\_ Signature of Proposer \_\_\_\_\_ Date \_\_\_\_\_

The Proposer is required to complete this form. Attach additional sheets, if necessary, to list and describe other related type of work not listed in the Scope of Work.

Type of Work	Yes	No	Remarks*
A. Geotechnical Drilling			
B. Environmental Drilling			
C. Installation of Hydraulics			
D. Installation of Monitoring Wells			
E. Well Development			
F. Well Abandonment			
G. Downhole Logging			

\* Describe special features of equipment, limitations, expertise, and other information deemed relevant.

**FEDERALLY FUNDED PROJECTS**

Federally funded projects subject to Federal Highway Administration (FHWA) will be expressly identified in Bid Requests for drilling work provided under this Agreement. For FHWA projects, the procedure indicated in Exhibit G shall apply. Whenever there is a discrepancy or inconsistency with the terms contained in Exhibit G and rest of the Contract, for FHWA federally-funded projects, the terms in Exhibit G shall prevail. Contractors should review the Caltrans' Local Assistance Procedures Manual (LAPM), including its Chapter 10, for further information regarding federally-funded projects. The website address for the Local Assistance Procedures Manual is <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>.

The following provisions have been adopted by the LAPM and apply to Disadvantaged Business Enterprise (DBE) and non-DBE Contractors. The Contract Manager will be responsible for checking the forms and any other LAPM requirements, as indicated in Exhibit G.1, once the federally-funded project goes out for bid and a winning bidder is determined.

- 1 Disadvantaged Business Enterprise (DBE) Participation
  - A. Notice to Bidders regarding DBE Information is attached as Exhibit G.3.
  - B. DBE Contractors shall have the opportunity to participate in the performance of the Contract, and the Contractor shall take all necessary and reasonable steps for such assurance and comply with the requirements of 49 Code of Federal Regulations (CFR), Part 26, entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." Failure by the Contractor to carry out these requirements is a material breach of this AGREEMENT, which may result in the termination of this AGREEMENT or such other remedy as the County deems appropriate.
  - C. Contractors who qualify as DBEs or obtain DBE participation on this Contract shall assist Caltrans in meeting its federally mandated statewide overall DBE goal. For reporting purposes, the CONTRACTOR shall complete and submit Exhibit G.8, "Local Agency Proposer/Bidder DBE (Contractor Contract) Information"
  - D. DBE Contractors and other small businesses, as defined in 49 CFR, Part 26, are encouraged to participate in the performance of agreements financed in whole or in part with federal funds. The DBE Contractor, subrecipient or subcontractor shall not

## EXHIBIT G

discriminate on the basis of race, color, national origin, or sex in the performance of this AGREEMENT. Failure by the DBE Contractor to abide by these requirements is a material breach of this AGREEMENT, which may result in the termination of this AGREEMENT or such other remedy as the County deems appropriate.

- E. Any subcontract entered into as a result of this AGREEMENT shall contain all of the provisions of this Exhibit G and as required by the LAPM.
- F. Contractors are encouraged to use services offered by financial institutions owned and controlled by DBEs.
- G. A DBE must be a small business firm as defined at 13 CFR 121 and be certified through the California United Certification Program (CUCP). The bidding Contractor shall list only one subcontractor, if any, for each portion of work as defined in their bid/proposal and all DBE subcontractors shall be listed. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP.
- H. Contractors shall review and complete all necessary forms in Exhibit G.1-G.11.

### 2 DBE Records

- A. The Contractor shall maintain records of materials purchased and/or supplied from all contracts and subcontracts entered into with certified DBEs. The records shall show the name and business address of each DBE Contractor or vendor and the total dollar amount actually paid each DBE Contractor or vendor, regardless of tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE prime Contractors shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.
- B. Upon completion of the work for which the FHWA bid was submitted, a summary of required records shall be prepared and submitted on the form entitled, "Final Report Utilization of Disadvantaged Business Enterprises (DBE)," Exhibit G.11, certified correct by the Contractor or the Contractor's authorized representative and shall be furnished to the Contract Manager with the final invoice. Failure to provide the summary of DBE payments with the final invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from payment until the

form is submitted. The amount will be returned to the Contractor when a satisfactory "Final Report Utilization of Disadvantaged Business Enterprises (DBE)" is submitted to the Contract Manager

3. DBE Certification and De-certification Status

A potential DBE may request certification from Caltrans by requesting an application form at:

Department of Transportation  
Business Enterprise Program  
Office of Certification Analysis  
PO Box 942874, MS - 79  
Sacramento, CA 94274-0001  
Phone: (916) 227-9599

The form may also be downloaded from the internet at:  
[http://www.dot.ca.gov/hq/bep/business\\_forms.htm](http://www.dot.ca.gov/hq/bep/business_forms.htm).

If a DBE subcontractor is decertified during the life of this AGREEMENT, the decertified subcontractor shall notify the Contractor in writing with the date of decertification. If a subcontractor becomes a certified DBE during the life of this AGREEMENT, the subcontractor shall notify the Contractor in writing with the date of certification. Any changes should be reported to the COUNTY within 30 days.

4. Cost Principles

- A. The Contractor agrees that the Contract Cost Principles and procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31 et seq., shall be used to determine the allowability of individual cost items.
- B. The Contractor also agrees to comply with federal procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- C. Any costs for which payment has been made to Contractor that are determined by subsequent audit to be unallowable under 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31 et seq., are subject to repayment by Contractor to the COUNTY
- D. Funds may not be used to reimburse County for costs incurred before the "Caltrans Authorization to Proceed" is issued, or for Contractor costs incurred prior to the execution of the Contract.

## EXHIBIT G

Contractor selection and Contract execution costs are reimbursable.

### 5 Contingent Fee

- A. The Contractor warrants, by execution of this contract that no person or selling agency has been employed, or retained, to solicit or secure this contract upon an agreement or understanding, for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees, or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the COUNTY has the right to annul this contract without liability; pay only for the value of the work actually performed, or in its discretion to deduct from the contract price or consideration, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.
- B. The Contractor shall complete and submit Form PW-18, "Certification of Consultant, Commissions & Fees" The COUNTY will complete Exhibit G.2, "Certification of Local Agency", and is included as part of this exhibit and made part of

### 6. General Compliance with Laws and Wage Rates

The Contractor shall comply with all federal, state, and local laws and ordinances applicable to the work. This includes compliance with prevailing wage rates and their payment in accordance with California Labor Code, Section 1775.

### 7 Retention of Records/Audit

- A. For the purpose of determining compliance with Public Contract Code 10115, et seq. and Title 21, California Code of Regulations, Chapter 21, Section 2500 et seq., when applicable and other matters connected with the performance of the contract pursuant to Government Code 8546.7, the Contractor, any subcontractor, and the COUNTY shall maintain all books, documents, papers, accounting records, and other evidence pertaining to the performance of the contract, including but not limited to, the costs of administering the contract. All parties shall make such materials available at their respective offices at all reasonable times during the contract period and for a minimum of five years from the date of final payment under the Contract. The state, the State Auditor, COUNTY, FHWA, or any duly authorized representative of the federal government shall have access to any books, records, and

## EXHIBIT G

documents of the Contractor that are pertinent to the contract for audit, examinations, excerpts, and transactions, and copies thereof shall be furnished if requested.

B. Subcontracts in excess of \$25,000 shall contain this provision.

C. Audit Review Procedures

1 Any dispute concerning a question of fact arising under an interim or post audit of this contract that is not disposed of by mutual agreement, shall be reviewed by the COUNTY OF LOS ANGELES DEPARTMENT OF PUBLIC WORKS INTERNAL AUDIT GROUP

2 Not later than 30 days after issuance of the final audit report, the Contractor may request a review by the COUNTY OF LOS ANGELES DEPARTMENT OF PUBLIC WORKS INTERNAL AUDIT GROUP of unresolved audit issues. The request for review will be submitted in writing.

3. Neither the pendency of a dispute nor its consideration by the COUNTY OF LOS ANGELES DEPARTMENT OF PUBLIC WORKS INTERNAL AUDIT GROUP will excuse the Contractor from full and timely performance, in accordance with the terms of this contract.

### 8. Subcontracting

A. Nothing contained in this AGREEMENT or otherwise, shall create any contractual relation between the COUNTY and any subcontractors, and no subcontract shall relieve the Contractor of their responsibilities and obligations herein. The Contractor agrees to be as fully responsible to the COUNTY for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the COUNTY's obligation to make payments to the Contractor.

B. Any subcontract entered into as a result of this AGREEMENT shall contain all of the provisions of this section and shall conform to the requirements of Exhibit G.4.

C. The Contractor shall perform the work contemplated with resources

available within its own organization; and no portion of the work pertinent to this contract shall be subcontracted without written authorization by the COUNTY, except that, which is expressly identified in the approved cost proposal.

- D Any substitution of subcontractors must be approved in writing by the COUNTY
- E. The Contractor shall pay its subcontractors within ten (10) calendar days from receipt of each payment made to the Contractor by the COUNTY. Attention is directed to Section 7108.5 of the California Business and Professions Code, which requires a Contractor or subcontractor to pay any subcontractor not later than 10 days of receipt of each progress payment, unless otherwise agreed to in writing. In addition, Federal Regulation (49 CFR 26.29) requires a prime contractor or subcontractor to pay a subcontractor no later than 30 days of receipt of each payment, unless any delay or postponement of payment among the parties takes place only for good cause and with the prior written approval of the agency. Section 7108.5 of the California Business and Professions Code also contains enforcement actions and penalties. These requirements apply to both DBE and non-DBE subcontractors.

9 Prompt Payment of Funds Withheld to Subcontractors

No retainage will be withheld by the COUNTY from progress payments due to the Contractor. Retainage by the Contractor or subcontractors is prohibited, and no retainage will be held by the Contractor from progress payments due to subcontractors. Any violation of this provision shall subject the violating Contractor or subcontractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the Contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the Contractor or deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime Contractors and subcontractors.

10. Inspection of Work

The Contractor and any subcontractor shall permit the COUNTY, the state, and the FHWA, to review and inspect the project activities and files at all reasonable times during the performance period of this contract including review and inspection on a daily basis.

11 National Labor Relations Board Certification

In accordance with Public Contract Code Section 10296, the Contractor hereby states under penalty of perjury that no more than one final unappealable finding of contempt of court by a federal court has been issued against the Contractor within the immediately preceding two-year period, because of the Contractor's failure to comply with an order of a federal court that orders the Contractor to comply with an order of the National Labor Relations Board

12 Evaluation of Contractor

The Contractor's performance will be evaluated by the COUNTY. A copy of Exhibit G.9, "Consultant Performance Evaluation" is attached to the AGREEMENT. The evaluation together with the comments shall be retained as part of the Contract record.

13 Statement of Compliance

The Contractor's signature affixed on the Notice to Proceed shall constitute a certification under penalty of perjury under the laws of the State of California that the Contractor has, unless exempt, complied with, the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103.

14 Debarment and Suspension Certification

A. The Contractor's signature affixed on the Notice to Proceed, shall constitute a certification under penalty of perjury under the laws of the State of California, that the Contractor has complied with Title 49, Code of Federal Regulations, Part 29, Debarment and Suspension Certificate, which certifies that he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager, is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years; does not have a proposed debarment pending; and has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years. Any exceptions to this certification must be disclosed to the COUNTY

B. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining Contractor responsibility. Disclosures must indicate to whom exceptions apply,

initiating agency, and dates of action.

15 Prohibition of Expending Local Agency State or Federal Funds for Lobbying

- A. The Contractor certifies to the best of his or her knowledge and belief that:
1. No state, federal or local agency appropriated funds have been paid, or will be paid by-or-on behalf of the Contractor to any person for influencing or attempting to influence an officer or employee of any state or federal agency; a Member of the State Legislature or United States Congress; an officer or employee of the Legislature or Congress, or any employee of a Member of the Legislature or Congress, in connection with the awarding of any state or federal contract; the making of any state or federal grant; the making of any state or federal loan; the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.
  2. If any funds other than federal appropriated funds have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency; a Member of Congress; an officer or employee of Congress, or an employee of a Member of Congress, in connection with this contract, grant, loan, or cooperative agreement; the Contractor shall complete and submit Standard Form-LLL, Form PW-20, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- B. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, US. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- C. The Contractor also agrees by signing the Notice to Proceed that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000, and that all such subrecipients shall certify and disclose accordingly

## 16. Responsibilities of COUNTY

### A. Pre-Award Audit

A pre-award audit is required for bid awards involving state or federal-aid highway funding as outlined below.

#### 1 Case 1 Bid Requests less than \$250,000

For bid requests which total less than \$250,000, a pre-award audit is not required unless the Contractor has been previously identified as a "high-risk" as described in 49 CFR, Part 18 Section 12.

Part 18 Section 12, 49 CFR, states that a grantee or subgrantee may be considered "high risk," if an awarding agency determines that a grantee or subgrantee.

- Has a history of unsatisfactory performance, or
- Is not financially stable, or
- Has a management system which does not meet the management standards set forth in this part, or
- Has not conformed to terms and conditions of previous awards, or
- Is otherwise, not responsible; and if the awarding agency determines that an award will be made, special conditions and/or restrictions shall correspond to the high-risk condition and shall be included in the award. For further clarification of the term "high-risk" contact Caltrans Audits and Investigations.

#### 2. Case 2: Bid requests in excess of \$250,000

Bid requests in excess of \$250,000 require a pre-award audit. The pre-award audit examines the Contractor's accounting, estimating, administrative systems, proposed costs, financial condition and the proposed contract language. The audit is as broad in scope as necessary to meet the objectives found in Exhibit G.6, "Standard Audit Program Procedures"

#### 3 A pre-award audit is also required under the following situations.

## EXHIBIT G

- Accumulative amendments that increase the total amount of the contract by over \$250,000, regardless of the number of amendments.
- Any single amendment over \$250,000.
- Any subcontract over \$250,000.

Procedures to perform the pre-award audit will depend on who the County selects to perform the audit. The County may perform the pre-award audit with their own personnel; employ a Certified Public Accountant (CPA) to perform the pre-award audit; or request Caltrans to perform the pre-award audit.

### 4. CALTRANS PERFORMS PRE-AWARD AUDIT

For situations where the County selects Caltrans to perform the audit, the County must transmit a *Pre-award Audit Request Letter and Checklist* to Caltrans Audits and Investigations with copies of the proposed DBE Contractor contract and cost proposal (also a copy to the DLAE). The Contractor's cost proposal for the prime DBE Contractor and all proposed subcontractors must contain a breakdown of all components of cost to include: labor base, rate, other direct costs, overhead, and fee. For "Sample Cost Proposals," see Schedule of Prices, Form PW-2. The agency must advise the DBE Contractor that an audit needs to be performed and that cooperation with the auditors is expected. Thirty working calendar days from the date of receipt of a complete and acceptable package (which includes the request, draft contract, and a cost proposal for the Contractor and subcontractors, each with a cost breakdown) should be allowed as a guideline. After receipt of the pre-award audit report from Caltrans Audits and Investigations, with the resolution of outstanding issues by the County; the "Audit Disposition" (Exhibit G.5) shall be completed by the County and sent to Caltrans Audits and Investigations with a copy to the DLAE.

Section 4.3 of the Caltrans *Service Contracts Manual* provides additional details about the audit process and is available at: <http://admin.dot.ca.gov/pc/pdfshell.shtml>.

### 5. COUNTY OF LOS ANGELES DEPARTMENT OF PUBLIC WORKS INTERNAL AUDIT GROUP PERFORMS PRE-AWARD AUDIT

## EXHIBIT G

The County shall notify Caltrans Audits and Investigations of their decision to perform the pre-award audit using its own forces. The notification will be in writing, using a Pre-award Audit Notification Letter. As a part of this notification process, the County shall also submit pre-award audit procedures.

Caltrans Audits and Investigations may perform a review of such procedures and express an opinion on them as needed. Caltrans shall retain the right to audit, or review the work of the County or designee at any time.

The audit must be completed before the DBE Contractor contract is executed. Failure to do this will result in loss of funds for the Contractor services. **The audit must be performed in accordance with generally accepted government auditing standards required by the United States General Accounting Office at: [www.gao.gov/govaud/ybk01.htm](http://www.gao.gov/govaud/ybk01.htm).**

The County shall follow the information in the "Accounting and Auditing Guidelines for Contracts with Caltrans" (Exhibit G.7) to assure that the audit objectives are clear as to the basic elements of an accounting system. In addition, *Standard Audit Program Procedures* shall be used as the minimum procedures to be performed for the pre-award audit.

Negotiation may begin with the DBE Contractor while the audit is being performed. The contract shall not be executed until the audit report has been completed, and the following are found to be satisfactory by the auditor: Contractor's accounting system, rates charged, knowledge of FHWA's cost eligibility, and documentation requirements. The local agency shall be proactive to resolve any audit comments before execution of the Contractor contract.

The "Request for Authorization to Proceed with Preliminary Engineering" (Exhibit G.10) includes boxes that indicate compliance with the pre-award audit requirement when there is federal-aid and or state participation.

The "Audit Disposition" (Exhibit G.5) must be signed by the County of Los Angeles Department of Public Works financial officer and submitted to the DLAE at completion of the pre-award audit. A courtesy copy of pre-award audits conducted by the County shall be mailed to:

Department of Transportation  
Caltrans Office Audits and Investigations  
P O. Box 942874  
Sacramento, CA 94272-0001

The County will be responsible for complying with these pre-award audit procedures and determining the eligibility of costs reimbursed to the DBE Contractor. The County will be subject to the sanctions mentioned in Chapter 20, "Deficiencies and Sanctions," of the LAPM if Caltrans, FHWA, or Federal Transportation Agency (FTA) determines that any reimbursements to the Contractor are the results of lack of proper contract provisions, unallowable charges to unsupported activities, or an inadequate accounting system.

6. **AUTHORIZATION TO PROCEED**

FHWA or Caltrans acting in their behalf must give the County an "Authorization to Proceed" with the work prior to the performance of any work for which federal reimbursement is to be requested, including the pre-award audit. Copies of the "Authorization to Proceed" and the Contractor contract must be retained in the project files for future audit purposes.

C. **Bidders List**

Contract Manager will create and maintain a bidders list consisting of information about all DBE and non-DBE firms that bid or quote to the local agency on DOT-assisted contracts. The bidders list will include the name, address, DBE/non-DBE status, date established, and annual gross receipts of firms.

## Exhibit 10-C Consultant Agreement Reviewers Checklist

## CONSULTANT AGREEMENT REVIEWERS CHECKLIST

Date: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Federal or State

Project Number: \_\_\_\_\_

Project Location: \_\_\_\_\_

Project File Location

Tab/Page No.

## I. SELECTION PROCEDURES ITEMS NEEDED FOR REVIEW

A. DESCRIPTION OF NEED FOR CONSULTANT

☐ YES ☐ NO \_\_\_\_\_

B. RECORDS OF PUBLICATION OF RFP OR RFQ

☐ YES ☐ NO \_\_\_\_\_

C. SOLICITATION RECORDS

☐ YES ☐ NO \_\_\_\_\_

D. INDEPENDENT COST ESTIMATE (FOR CONTRACTS OVER \$100,000)

☐ YES ☐ NO \_\_\_\_\_

E. EVALUATION CRITERIA

☐ YES ☐ NO \_\_\_\_\_

F. DOCUMENTATION OF SELECTION

☐ YES ☐ NO \_\_\_\_\_

G. PLAN TO MONITOR WORK

☐ YES ☐ NO \_\_\_\_\_

## II. CONSULTANT AGREEMENT

## A. INTRODUCTION

1 Date of execution of agreement

Date: \_\_\_\_\_

2 Names, addresses, identifying data of agreeing parties

☐ YES ☐ NO \_\_\_\_\_

3 Location and description of project

☐ YES ☐ NO \_\_\_\_\_

4 Name of Local Agency Contract Administrator

☐ YES ☐ NO \_\_\_\_\_

5 Name of Consultant Project Manager

☐ YES ☐ NO \_\_\_\_\_

## B. AGREEMENT

1 Type of work to be done

a) Detailed Scope of Work

☐ YES ☐ NO \_\_\_\_\_

b) Consultant services

☐ YES ☐ NO \_\_\_\_\_

c) Right of Way

☐ YES ☐ NO \_\_\_\_\_

d) Subsurface investigations

☐ YES ☐ NO \_\_\_\_\_

**EXHIBIT 10-C**  
**Consultant Agreement Outline**

- |  |                              |                             |       |
|--|------------------------------|-----------------------------|-------|
| e) Obligations of local agency to consultant   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| f) Conferences, visits to site, inspection of work   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| g) Checking of shop drawings   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| h) Consultant services during construction   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| i) Deliverables and number of copies   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| j) Milestones and description of work for each   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| 2. Date of beginning of contract   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| 3. Payment methods   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| 4. Record retention (three years) and right to audit   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| 5. Contract Cost Principles and Procedures and Administrative Requirements<br>(CFR 48, <i>Federal Acquisition Regulation System</i> ,<br>Chapter 1, Part 31 and CFR 49, Part 18) | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| a) Covenants Against Contingent Fees<br>Exhibit 10-D, (B6 [a])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| b) Design Standards Exhibit 10-D, (B6 [b])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| c) Documentation Exhibit 10-D, (B6 [c])  | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| d) Ownership of Documents - Exhibit 10-D, (B6 [d])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| e) Patent Rights - Exhibit 10-D, (B6 [e])  | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| f) Copyrights Exhibit 10-D, (B6 [f])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| g) Changes in work - Exhibit 10-D, (B6 [g])  | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| h) Delays and Extensions Exhibit 10-D, (B6 [h])  | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| i) Termination or Abandonment - Exhibit 10-D, (B6 [i])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| j) Remedies Exhibit 10-D, (B6 [j])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| k) Disputes Exhibit 10-D, (B6 [k])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| l) Responsibility for Claims and Liability Exhibit 10-D,<br>(B6 [l])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| m) General Compliance With Laws & Wage Rates - Exhibit<br>10-D, (B6 [m])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| n) Subcontracting, Assignment and Transfer - Exhibit 10-D,<br>[B6 [n]]   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| o) Consultant's Endorsement on Plans, etc. - Exhibit 10-D,<br>(B6 [o])   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| p) DBE Considerations, Exhibit 10-D, (B6 [p])  | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| q) Local Agency Proposer/Bidder-DBE (Consultant<br>Contracts)-Information - Exhibit 10-O   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |
| r) Nonlobbying Certification for Federal-aid Contracts<br>Exhibit 10-P *   | <input type="checkbox"/> YES | <input type="checkbox"/> NO | _____ |

**EXHIBIT G.1**

Local Assistance Procedures Manual

**EXHIBIT 10-C**  
**Consultant Agreement Reviewers Checklist**

- s) Debarment and Suspension Certification – Exhibit 12-E, Attachment E \* ☐ YES ☐ NO \_\_\_\_\_
- t) Notice to Bidders/Proposers Disadvantaged Business Enterprise Information – Exhibit 10-I. ☐ YES ☐ NO \_\_\_\_\_
- \* Use form prepared for construction contracts
6. Insurance requirements ☐ YES ☐ NO \_\_\_\_\_
7. Ending date of contract: \_\_\_\_\_
- C. CONCLUSIONS (ACCEPTED LEGAL EXPRESSION, ETC.)** ☐ YES ☐ NO \_\_\_\_\_
- D. SIGNATURES** ☐ YES ☐ NO \_\_\_\_\_
- E. CERTIFICATIONS OF CONSULTANT AND AGENCY - Exhibits 10 F & G** ☐ YES ☐ NO \_\_\_\_\_
- F. COST PROPOSAL - Exhibit 10-H** ☐ YES ☐ NO \_\_\_\_\_

\_\_\_\_\_  
**Contract Administrator**\_\_\_\_\_  
**Date**

Distribution. All Projects: Original to the Caltrans DLAE. one copy for the Local Agency Project file

## Exhibit 10-G Certification of Local Agency

## CERTIFICATION OF LOCAL AGENCY

I HEREBY CERTIFY that I am the \_\_\_\_\_ of the  
\_\_\_\_\_  
(local agency), and that the consulting firm of  
\_\_\_\_\_, or its representative has not been required (except  
as herein expressly stated), directly or indirectly, as an express or implied condition in connection  
with obtaining or carrying out this Agreement to:

- (a) employ, retain, agree to employ or retain, any firm or person, or
- (b) pay or agree to pay, to any firm, person or organization, any fee, contribution, donation, or  
consideration of any kind.

I acknowledge that this Certificate is to be made available to the California Department of Transportation  
(Caltrans) in connection with this Agreement involving participation of federal-aid highway funds, and is  
subject to applicable state and federal laws, both criminal and civil.

\_\_\_\_\_  
(Date)\_\_\_\_\_  
(Signature)

**EXHIBIT 10-I Notice to Bidders/Proposers Disadvantaged Business Enterprise Information****LOCAL AGENCY LETTERHEAD  
(DATE)****NOTICE TO BIDDERS/PROPOSERS  
DISADVANTAGED BUSINESS ENTERPRISE INFORMATION****1. TERMS AS USED IN THIS DOCUMENT**

- The term "Disadvantaged Business Enterprise" or "DBE" means a for-profit small business concern as defined in Title 49, Part 26.5, Code of Federal Regulations (CFR).
- The term "bidder" also means "proposer" or "offerer."
- The term "Agreement" also means "Contract."
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term "Small Business" or "SB" is as defined in 49 CFR 26.65.

**2. AUTHORITY AND RESPONSIBILITY**

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Agreements financed in whole or in part with federal funds (See 49 CFR 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs"). The Contractor should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The bidder/proposer shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Bidders/Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

**3. SUBMISSION OF DBE INFORMATION**

A "Local Agency Proposer/Bidder-DBE (Consultant Contracts)-Information" form will be included in the Agreement documents to be executed by the successful bidder. The purpose of the form is to collect data required under 49 CFR 26. Even if no DBE participation will be reported, the successful bidder must execute and return the form.

**EXHIBIT 10-1**  
**Notice to Bidders/Proposers**  
**Disadvantaged Business Enterprise Information**

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#### 4. DBE PARTICIPATION GENERAL INFORMATION

It is the bidder's responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department's DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime contractor, subcontractor, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- D. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55; that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- E. The bidder (prime contractor) shall list only one subcontractor for each portion of work as defined in their bid/proposal and all DBE subcontractors should be listed in the bid/cost proposal list of subcontractors.
- F. A prime contractor who is a certified DBE is eligible to claim all of the work in the Agreement toward the DBE participation except that portion of the work to be performed by non-DBE subcontractors.

#### 5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance. Bidder/Proposer may call (916) 440-0539 for web or download assistance.
- B. Access the CUCP database from the Department of Transportation, Civil Rights, Business Enterprise Program website at: <http://www.dot.ca.gov/hq/bep/>.
  - Click on the link in the left menu titled Find a Certified Firm
  - Click on Query Form link, located in the first sentence
  - Click on Certified DBE's (UCP) located on the first line in the center of the page
  - Click on Click To Access DBE Query Form
  - Searches can be performed by one or more criteria
  - Follow instructions on the screen
  - "Start Search," "Requery," "Civil Rights Home," and "Caltrans Home" links are located at the bottom of the query form

## C. How to Obtain a List of Certified DBEs without Internet Access

**DBE Directory:** If you do not have Internet access, Caltrans also publishes a directory of certified DBE firms extracted from the on-line database. A copy of the directory of certified DBEs may be ordered from the Caltrans Division of Procurement and Contracts/Material and Distribution Branch/Publication Unit, 1900 Royal Oaks Drive, Sacramento, CA 95815, Telephone: (916) 445-3520.

## 6. WHEN REPORTING DBE PARTICIPATION, MATERIAL OR SUPPLIES PURCHASED FROM DBES MAY COUNT AS FOLLOWS:

- A. If the materials or supplies are obtained from a DBE manufacturer, one hundred percent of the cost of the materials or supplies will count toward the DBE participation. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises, the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count sixty percent of the cost of the materials or supplies toward DBE participation. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

## 7. WHEN REPORTING DBE PARTICIPATION, PARTICIPATION OF DBE TRUCKING COMPANIES MAY COUNT AS FOLLOWS:

- A. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible.
- B. The DBE must itself own and operate at least one fully licensed, insured and operational truck used on the Agreement.
- C. The DBE receives credit for the total value of the transportation services it provides on the Agreement using trucks it owns, insures, and operates using drivers it employs.
- D. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Agreement.

**EXHIBIT 10-1**  
**Notice to Bidders/Proposers**  
**Disadvantaged Business Enterprise Information**

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- E. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by the DBE.
- F. For the purposes of this Section D, a lease must indicate that the DBE has exclusive use and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, as long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

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**EXHIBIT 10-J STANDARD AGREEMENT FOR SUBCONTRACTOR/DBE PARTICIPATION****STANDARD AGREEMENT FOR SUBCONTRACTOR/DBE PARTICIPATION****1. Subcontractors**

- A. Nothing contained in this Agreement or otherwise, shall create any contractual relation between the Agency and any subcontractors, and no subcontract shall relieve the Contractor of his/her responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the Agency for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the Agency's obligation to make payments to the Contractor.
- B. Any subcontract in excess of \$25,000, entered into as a result of this Agreement, shall contain all the provisions stipulated in this Agreement to be applicable to subcontractors.
- C. Contractor shall pay its subcontractors within ten (10) calendar days from receipt of each payment made to the Contractor by the Agency.
- D. Any substitution of subcontractors must be approved in writing by the Agency's Contract Manager in advance of assigning work to a substitute subcontractor.

**2. Disadvantaged Business Enterprise (DBE) Participation**

- A. This Agreement is subject to 49 CFR, Part 26 entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." Bidders who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal.
- B. DBE and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of agreements financed in whole or in part with federal funds. The Contractor, subrecipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Agreement. The Contractor shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US DOT assisted agreements. Failure by the Contractor to carry out these requirements is a material breach of this Agreement, which may result in the termination of this Agreement or such other remedy as the recipient deems appropriate.
- C. Any subcontract entered into as a result of this Agreement shall contain all of the provisions of this section.

**EXHIBIT 10-J**  
**Standard Agreement for Subcontractor/  
DBE Participation**

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**3. Performance of DBE Contractors and other DBE Subcontractors/Suppliers**

- A. A DBE performs a commercially useful function when it is responsible for execution of the work of the Agreement and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible with respect to materials and supplies used on the Agreement, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the Agreement is commensurate with the work it is actually performing, and other relevant factors.
- B. A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, Agreement, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, examine similar transactions, particularly those in which DBEs do not participate.
- C. If a DBE does not perform or exercise responsibility for at least thirty percent of the total cost of its Agreement with its own work force, or the DBE subcontracts a greater portion of the work of the Agreement than would be expected on the basis of normal industry practice for the type of work involved, it will be presumed that it is not performing a commercially useful function.

**5. Prompt Payment of Funds Withheld to Subcontractors**

*(Local agency to use either A, B, or C below; delete the other two.)*

- A. No retainage will be withheld by the Agency from progress payments due the prime contractor. Retainage by the prime contractor or subcontractors is prohibited, and no retainage will be held by the prime contractor from progress due subcontractors. Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the prime Contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime contractor or deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.
- B. No retainage will be held by the Agency from progress payments due the prime contractor. Any retainage held by the prime contractors or subcontractors from progress payments due subcontractors shall be promptly paid in full to subcontractors within 30 days after the subcontractor's work is satisfactorily completed. Federal law (49CFR26.29) requires that any delay or postponement of payment over the 30 days may take place only for good cause and with the agency's prior written approval. Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions and other remedies specified in Section 7108.5 of the Business and Professions Code. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the prime Contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime contractor, deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.
- C. The Agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the agency, of the contract work, and pay retainage to the prime contractor based on these acceptances. The prime contractor, or subcontractor, shall return all monies withheld in retention from a subcontractor within 30 days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Federal law (49CFR26.29) requires that any delay or postponement of payment over 30-days may take place only for good cause and with the agency's prior written approval. Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions and other remedies specified in Section 7108.5 of the Business and Professions Code. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the prime contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime contractor, deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.
- D. Any subcontract entered into as a result of this Agreement shall contain all of the provisions of this section.

**6. DBE Records**

- A. The Contractor shall maintain records of materials purchased and/or supplied from all subcontracts entered into with certified DBEs. The records shall show the name and business address of each DBE or vendor and the total dollar amount actually paid each DBE or vendor, regardless of tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE prime Contractors shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.

**EXHIBIT 10-J**  
**Standard Agreement for Subcontractor/  
 DBE Participation**

- B. Upon completion of the Agreement, a summary of these records shall be prepared and submitted on the form entitled, "Final Report-Utilization of Disadvantaged Business Enterprises (DBE)," CEM-2402F (Exhibit 17-F in Chapter 17 of the LAP), certified correct by the Contractor or the Contractor's authorized representative and shall be furnished to the Contract Manager with the final invoice. Failure to provide the summary of DBE payments with the final invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from payment until the form is submitted. The amount will be returned to the Contractor when a satisfactory "Final Report Utilization of Disadvantaged Business Enterprises (DBE)" is submitted to the Contract Manager.

1) Prior to the fifteenth of each month, the Contractor shall submit documentation to the Agency's Contract Manager showing the amount paid to DBE trucking companies. The Contractor shall also obtain and submit documentation to the Agency's Contract Manager showing the amount paid by DBE trucking companies to all firms, including owner-operators, for the leasing of trucks. If the DBE leases trucks from a non-DBE, the Contractor may count only the fee or commission the DBE receives as a result of the lease arrangement.

(2) The Contractor shall also submit to the Agency's Contract Manager documentation showing the truck number, name of owner, California Highway Patrol CA number, and if applicable, the DBE certification number of the truck owner for all trucks used during that month. This documentation shall be submitted on the Caltrans "Monthly DBE Trucking Verification, CEM-2404(F) form provided to the Contractor by the Agency's Contract Manager.

**7. DBE Certification and De-certification Status**

If a DBE subcontractor is decertified during the life of the Agreement, the decertified subcontractor shall notify the Contractor in writing with the date of de-certification. If a subcontractor becomes a certified DBE during the life of the Agreement, the subcontractor shall notify the Contractor in writing with the date of certification. Any changes should be reported to the Agency's Contract Manager within 30 days.

**When Reporting DBE Participation, Material or Supplies purchased from DBEs may count as follows:**

- A. If the materials or supplies are obtained from a DBE manufacturer, 100 % of the cost of the materials or supplies will count toward the DBE participation. A DBE manufacturer is a firm that operates or maintains a factory or establishment that produces on the premises, the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 % of the cost of the materials or supplies toward DBE goals. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement, are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment, shall be by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

*(Add the following to contracts which require trucking)*

**When Reporting DBE Participation, Participation of DBE trucking companies may count as follows:**

- A. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible.
- B. The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the Agreement.
- C. The DBE receives credit for the total value of the transportation services it provides on the Agreement using trucks it owns, insures, and operates using drivers it employs.
- D. The DBE may lease trucks from another DBE firm including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Agreement.
- E. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by the DBE.
- F. For the purposes of this section, a lease must indicate that the DBE has exclusive use and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, as long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

## Exhibit 10-K Audit Disposition

## AUDIT DISPOSITION

Date: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Federal Project Number: \_\_\_\_\_

To document the disposition of the required pre-award (pre-negotiation) audit prescribed in 23 CFR 172, this form shall be completed for each consultant contract with participating state or federal-aid highway funds exceeding \$250,000 and each contract under \$250,000, where the consultant was previously identified as a "high-risk" recipient as described in 49 CFR Part 18.12.

(Check appropriate box)

Caltrans Performs Pre-award Audit

- ☐ Caltrans' Audits and Investigations performed the pre-award audit and informed the local agency of its findings. The local agency resolved any outstanding issues and found the consultant satisfactory

Local Agency (or hired CPA) Performs Pre-award Audit

- ☐ Pre-award audit completed. Consultant found satisfactory.
- ☐ A courtesy copy of the completed pre-award audit was mailed to Caltrans' Audits and Investigations on (date).

\_\_\_\_\_  
Signature of local agency financial/auditing officer

Title: \_\_\_\_\_

Distribution: 1) Caltrans, Audits and Investigations (original), DLAE, local agency project files  
2) Project Files

# EXHIBIT G.6

Local Assistance Procedures Manual

EXHIBIT 10-M  
Standard Audit Program Procedures

## Exhibit 10-M Standard Audit Program Procedures

Pre-Award Audit  
(Name of Contractor)  
Sample-Audit Program

W/P No: \_\_\_\_\_  
Audit No: \_\_\_\_\_  
Contract No: \_\_\_\_\_  
Auditor: \_\_\_\_\_  
Reviewer: \_\_\_\_\_

ITEM No.		Auditor Init/date	WorkPaper Ref.
1	<p><b>PURPOSE</b></p> <p>The purpose of a pre-award evaluation is to provide the approving authority with professional advice on accounting and financial matters and to assist in the award and administration of proposed consultant contracts. It also alerts both the consultant and the approving authority to potential problems relative to the Consultant's basic agreement, cost/price proposal, procurement procedures, or cost accounting system.</p>		
11	<p><b>SCOPE</b></p> <p>The examination shall include reviews of applicable laws and regulation, contract requirements, and Contractor's system of internal control. Audit tests of accounting records and such other auditing procedures considered necessary to meet the objectives will be conducted. Applications of audit procedures will be governed by the individual contract under audit.</p>		
111	<p><b>STANDARDS</b></p> <p>The audit is to be conducted in accordance with generally accepted governmental auditing standards.</p>		
1V	<p><b>APPLICABLE RULES AND REGULATIONS</b></p> <ol style="list-style-type: none"> <li>Contract Provisions</li> <li>CFR 48, Part 31-Federal Cost Eligibility</li> <li>CFR 49, Part 18-Uniform Administrative Requirements</li> </ol>		
V	<p><b>OBJECTIVES</b></p> <ol style="list-style-type: none"> <li>To determine if the consultant agreement specifically provides for the following: <ul style="list-style-type: none"> <li>specific performance period</li> <li>three-year record retention period and right to audit.</li> <li>method of payment.</li> <li>references to cost principles set forth in CFR 48, Chapter 1, Part 31 for allowability of individual items of cost; CFR 49, Part 18, for administrative procedures; and OMB Circular 1-110, for nonprofit subrecipients.</li> </ul> </li> <li>To determine if the Consultant's cost proposal contains a breakdown of the estimate for performing the work, and that the proposed costs are reasonable in relation to actual historic costs and estimating procedures.</li> <li>To determine if the Consultant's cost accounting system is capable of accumulating and reasonable allocable, and allowable costs</li> </ol>		

VI	<p><b>PRELIMINARY AUDITS STEPS</b></p> <ol style="list-style-type: none"> <li>1 Review the proposed contract.             <ol style="list-style-type: none"> <li>a. Document your review and note any exceptions needed to be included on the audit report.</li> </ol> </li> <li>2 Review the permanent file.             <ol style="list-style-type: none"> <li>a. Ascertain the nature, timing, and extent of the last internal control and accounting system review</li> </ol> </li> <li>3 Review the cost proposal             <ol style="list-style-type: none"> <li>a. Determine if the Consultant's cost/price proposal contains a breakdown of the estimate for performing the work.</li> <li>b. Foot and extend cost data.</li> <li>a. Obtain missing cost proposal information, if necessary</li> <li>b. Compare data with permanent file. Obtain updated cost information if necessary</li> <li>c. Comment on usual amounts unfavorable trends or differences between current and past costs</li> <li>d. Recalculate cost proposal in consideration of any audit exceptions</li> </ol> </li> <li>4. Determine scope of audit.             <ol style="list-style-type: none"> <li>a. Omit step 2 (field work) if:                 <ul style="list-style-type: none"> <li>- a recent audit found the accounting system adequate, and the accounting system is adequate to accumulate and segregate additional contract costs</li> </ul> </li> <li>b. If the accounting system has not recently been reviewed or does not appear to be able to take on additional contract costs discuss the nature timing and extent of audit procedures with superior</li> </ol> </li> <li>5. Prepare preliminary Audit Plan and Time Budget</li> <li>6. Contact the Contract Administrator to inform him/her of the following:             <ul style="list-style-type: none"> <li>Scheduled date of field work</li> <li>Tentative completion date</li> <li>Any anticipated problems etc</li> <li>additional contract costs.</li> </ul> </li> </ol> <p><b>Note:</b> The Contract Administrator should be kept abreast of all pertinent audit issues. Any problems in obtaining necessary information, etc., should be discussed with him/her immediately and documented in the work papers.</p>		
VII	<p><b>AUDIT STEPS-FIELD WORK</b></p> <ol style="list-style-type: none"> <li>1 Contact the Contractor and arrange a date for the audit.             <ol style="list-style-type: none"> <li>a. Inform the Contractor of the type of information, records, personnel needed, and arrange for work space.</li> <li>b. Request that the Contractor prepare schedules of the calculations of all billing rates such as overhead, fringe benefits, in-house direct cost billing rates, and any other rates used in billing. If possible, have these schedules sent to the auditor for review before the date of field work.</li> <li>c. Inquire whether the Contractor has been audited within the previous year by the DCAA or similar federal agencies, or has had an independent CPA review overhead, internal controls, or project costing systems. If so, obtain a copy of the audit report and/or review working papers for consideration when evaluating internal controls, overhead rates, etc.</li> </ol> </li> </ol>		

	<ul style="list-style-type: none"> <li>- Prepare and send engagement letter to the Contractor to confirm the above discussion. Send a copy of the letter to the Contract Administrator.</li> </ul> <p>2. Conduct an entrance conference with the Consultant to ensure coverage of the following:</p> <ul style="list-style-type: none"> <li>• Purpose, scope and objective of the pre-award evaluation.</li> <li>• Anticipated timeframe of audit fieldwork</li> <li>• Whether the Consultant is familiar with CFR 48, Chapter 1, Part 31. If not, Consultant can obtain a copy of these regulations at <a href="http://www.access.gpo.gov/nara/cfr/waisidx_05/48cfr31_05.html">http://www.access.gpo.gov/nara/cfr/waisidx_05/48cfr31_05.html</a>.</li> <li>• Intention to keep Consultant updated on audit progress, and to discuss all audit exceptions prior to issuance of an audit report.</li> <li>• Documentation of the entrance conference in the work papers.</li> </ul>		
V111	<p><b>CONTROL STRUCTURE SURVEY</b></p> <p>1. Review and evaluate the Contractor's internal control structure.</p> <p>a. Prepare or update a written narrative, flowchart and/or completed internal control questionnaire which adequately describes the accounting system including significant internal controls over contract costs, in order to adequately plan the audit and test the various applications. This understanding should include knowledge of the Contractor's control environment, accounting system and control procedures. Generally, the relevant policies and procedures pertain to a Contractor's ability to record, process, summarize, and report contract and financial information ;and to ensure compliance with applicable laws and regulations.</p> <p>b. Selectively examine (test) the accounting records and underlying source documents only to the extent necessary; to determine if the system has the ability to accumulate and segregate reasonable, allocable, and allowable costs through the use of a cost accounting system. The following are some of the attributes which should ideally be found in such a system:</p> <ul style="list-style-type: none"> <li>• Chart of accounts (direct and indirect accounts).</li> <li>• Segregation of costs by contract, category of cost and milestone (if applicable).</li> <li>• Proper recording of direct and indirect costs. For example, separate accounts should be used for direct labor, indirect labor, vacation, holiday, sick leave, etc.</li> <li>• Consistent accounting treatment of costs in recording and reporting.</li> <li>• Ability to trace from invoices billed to job cost records and original, approved source documents to the general ledger</li> </ul> <p>2. Prepare a summary of the internal control structure and cost accounting system. The summary should include or reference to a control risk assessment and a finalized Audit Planning document.</p> <p>3 Evaluation of cost/price data.</p> <p>a. Obtain source documents and/or other criteria used to establish the cost/price proposal.</p>		

**EXHIBIT 10-M**  
**Standard Audit Program Procedures**

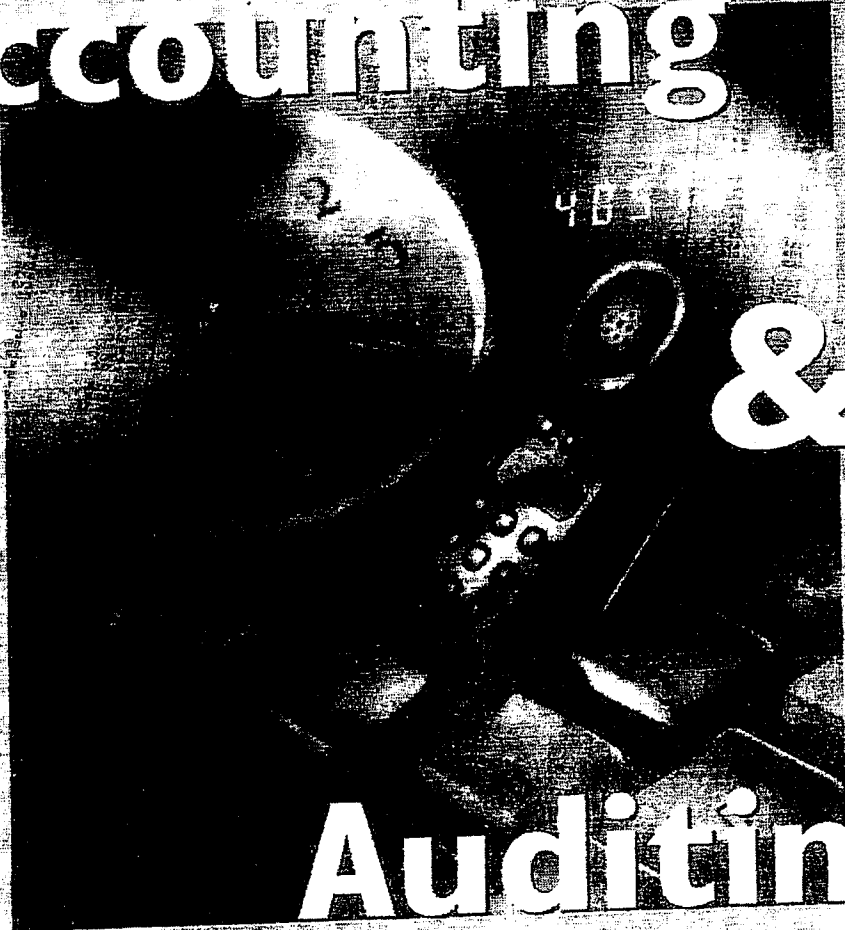
**Local Assistance Procedures Manual**

	<p>4 Evaluate the propriety of direct labor costs.</p> <ol style="list-style-type: none"> <li>Select a representative sample of employee timesheets (cards) and test the hourly extension.</li> <li>Trace hours to the payroll journal and compare hourly rates paid to the rates submitted with the cost/price proposal.</li> <li>If applicable, compare proposed direct labor rates to prevailing wage and union labor rates.</li> <li>If overtime is proposed, does the Consultant have procedures to ensure and document equitable overtime charges to government and nongovernment contracts?</li> <li>Prepare a labor rate analysis and comment on variances.</li> </ol> <p>5. Analyze indirect cost rates (fringe benefits, overhead, general and administrative).</p> <ol style="list-style-type: none"> <li>Request written verification of an approved overhead rate, if available (DCAA or other qualified entity).</li> <li>Obtain a written breakdown /schedule of costs included in the rates.             <ul style="list-style-type: none"> <li>Trace the indirect rate schedule to the general ledger</li> <li>Scan the indirect cost accounts in the general ledger for unallowable costs.</li> <li>Test the Consultant's proposed rate, by comparing the individual items of cost for allowability and fair presentation with CFR 48, Chapter 1, Part 31</li> </ul> </li> <li>Schedule all disallowed costs.</li> <li>Recalculate the overhead rate and comment on variances.</li> </ol> <p>6. Evaluate the propriety of other direct costs (materials, transportation, equipment, per diem, etc.) and Subcontractors.</p> <ol style="list-style-type: none"> <li>Determine the methods used to establish the cost of materials, transportation, and per diems, etc.</li> <li>Compare proposed rates, or costs with prevailing rates, or past experiences.</li> <li>Determine if direct costs are independent from the indirect cost pool.</li> <li>Schedule all costs which do not appear to meet the criteria established in CFR 48, Chapter 1, Subpart 31.2.</li> </ol> <p>7. Evaluate the proposed fixed fee.</p> <p>As field work progresses, keep the Controller or other contact person aware of the findings or problems, as they arise. Resolve the matters if possible. Document these conversations in the work papers.</p> <p>8. Evaluate the Contractor's financial capability – Ratio Analysis.</p> <p>9. Prior to completion of field work, discuss all exceptions with the consultant ensuring coverage of:</p> <ul style="list-style-type: none"> <li>scope and objectives of the pre-award audit</li> <li>the condition, criteria, cause, effect, and recommendation for each exception noted.</li> </ul>		
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# EXHIBIT G.6

<p><b>IX</b></p>	<ul style="list-style-type: none"> <li>• Caltrans' review process and reporting procedures.</li> <li>• any questions, the Consultant may have.</li> </ul> <p>10. Obtain a management representation letter</p> <p><b>COMPLETION</b></p> <ol style="list-style-type: none"> <li>1. Complete work papers to assure that they are properly headed, indexed, signed, dated, and cross-referenced. In addition, each work paper should include, or be reference to, a statement of purpose, source, analysis and conclusion.</li> <li>2. Prepare an audit summary which documents the purpose, objectives, procedures, results/conclusions and recommendations.</li> <li>3. Cross-reference all exceptions to the appropriate papers.</li> <li>4. Prepare draft audit report.</li> <li>5. If necessary, schedule a closeout conference with the Consultant to discuss any exceptions not discussed, or resolved as of completion of fieldwork. Also, if material findings are identified, the Contract Administrator should also be contacted. Document these conversation/conferences.</li> <li>6. Complete audit assignment card.</li> <li>7. Update the permanent file.</li> <li>8. Submit completed work papers and draft audit report to supervisor for final review</li> <li>9. Prepare final report and distribute as follows: <ul style="list-style-type: none"> <li>• Original – Requester</li> <li>• If Requester is headquarters, then: 1 copy- Headquarters Contract Office</li> <li>• If Requester is District, then: 1 copy District Contract Officer or District Consultant Services or DLAE</li> <li>• 1 copy - Audit file (Section B)</li> <li>• 1 copy - Chronological File (Audit Reports Binder)</li> <li>• 1 copy - P# File (Audit Reports Binder)</li> <li>• 1 copy -Audit Office</li> <li>• 1 copy – Supervisor</li> </ul> </li> </ol> <p>Note: A "cc" notation is needed on the final report for reports distributed outside of the Audits Office.</p>		
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# Accounting & Auditing



GUIDELINES FOR  
CONTRACTS  
WITH CALTRANS





## INTRODUCTION

The purpose of this brochure is to outline for you, a potential contractor with the California State Department of Transportation (Caltrans), the basic elements of an adequate accounting system, and the types and objectives of audits that will be performed in relation to your contract. In order to successfully compete for a contract and meet the audit requirements, a contractor (whether a prime or subcontractor) must have a system of record keeping and internal control. Although a specific cost accounting system is not required, a contractor must have a system which will assure compliance with the terms of the agreement. A preaward audit will be performed to assure you meet these requirements prior to contract execution. If your system is deficient, the contract will not be executed.

Caltrans reimburses, through your overhead rate, the costs attributable to establishing and maintaining a cost accounting system.

Staff time and other costs related to an audit performed on your contract are normally reimbursed through your overhead rate.

## ACCOUNTING SYSTEM

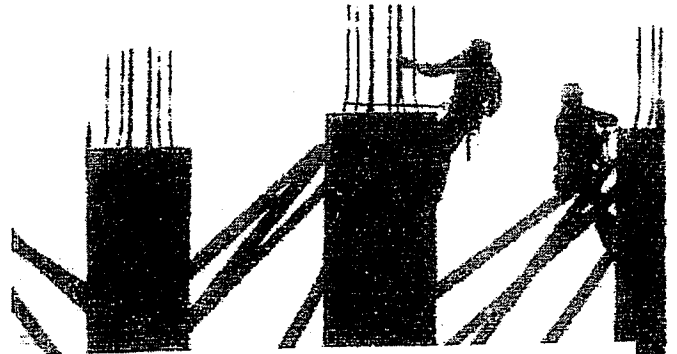
Contractors (whether a prime or subcontractor) planning to contract with Caltrans must have an accounting system which meets the following objectives:

- The ability to record and report financial data in accordance with generally accepted accounting principles.
- A system of record keeping to ensure that costs billed to Caltrans are:
  - a. Supported by adequate documentation.
  - b. In compliance with the terms of the contract and applicable Federal and State regulations specified in the contract.
- A system of record keeping ideally includes the following:
  - a. General ledger
  - b. Job cost ledger
  - c. Labor distributions
  - d. Time records
  - e. Subsidiary journals
  - f. Chart of accounts
  - g. Financial statements
- The ability to accumulate and segregate reasonable and allowable incurred solely for a project (allowable) over terms of the contract costs through the use of a cost accounting system. The following are some of the attributes which would ideally be found in such a system:
  - a. A chart of accounts which includes indirect and direct general ledger accounts. Indirect costs are not specifically identified to a project (for example, rent and/or utilities). Direct costs are specifically identified with a project (for example, drafting hours and/or design hours).
  - b. Segregation of costs by contract category or cost and milestones (if applicable).
  - c. Proper recording of direct and indirect costs. For example, recording of labor costs should provide that non-project indirect hours are recorded on a time sheet and in the accounting records to avoid misstatement; vacation, sick leave or other indirect cost accounts. Direct project hours should be recorded on a time sheet and in the accounting records to a direct project cost account code.

## EXHIBIT G.7

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- d. Consistent accounting treatment of costs in recording and reporting. For example, if travel expense is charged primarily to projects, all travel expense incurred on any project should be considered and allocated. As a result, project-related travel whether reimbursable per the contract terms or not should be included as a direct cost.
  - e. Ability to trace from invoices submitted to Contractor to job cost records and original approved source documentation and evaluation. Time sheets verify direct costs charged.
  - f. Ability to reconcile job cost records to the accounting records.
- Consistent with cost principles described in the Code of Federal Regulation 48, Federal Acquisition Regulation System (FAR), Chapter 1, Part 31. Information on how to obtain this regulation is described under "Audit Criteria" on the following page.
  - Procedures to monitor and adjust projected overhead rates to actual rates.
  - Controls to ensure that written approval is obtained prior to any charges to the contract.
  - Procedures to retain accounting records and source documentation as required by the terms of the contract.
  - A system of internal control which provides reasonable assurance that assets are protected, financial data, records and statements are reliable, and errors and irregularities are promptly discovered, reported and corrected. The elements of a system of internal control should include, but not be limited to the following:
    - a. Separation of duties for proper protection of assets. Incompatible duties are those that place any person in a position to both perpetrate and conceal errors or irregularities in the normal course of business. For example, the person who writes checks should be different from the person who reconciles bank statements and the person who purchases goods should be different from the person who receives goods.
    - b. Limiting access to assets to only authorized personnel who require these assets in the performance of their assigned duties. For example, blank check stock should be locked in a safe when not in use.
    - c. Authorization and record keeping procedures which provide effective accounting control over assets, liabilities, revenues, and expenditures.
    - d. A system of priorities to be followed in the performance of duties and functions. Such a system normally includes policies and procedures which establish the purpose and requirements of the accounting system. For example, timekeeping practices should ideally provide for the following:
      - Time sheets be prepared, signed and dated by all employees.
      - Time sheets be completed in non-erasable ink.
      - Time sheet corrections be crossed out and initialed by the employee.
      - Time sheets be signed by a supervisor as reviewed and retained on file as required by the contract.
    - e. Personnel with skills and training commensurate with their responsibilities.
    - f. A system of internal review. For example, bank reconciliations and travel expense claim should be reviewed, approved, and signed by a supervisor.



## AUDITS

Contractors, whether a prime or subcontractor performing under a negotiated contract with Caltrans, are subject to the following audits:

- **Preaward Audits:** Prior to the award of a contract, Caltrans Audits and Investigations will conduct a preaward audit to determine if the contractor's accounting system is adequate to accumulate and segregate costs as detailed in the previous section and to determine if the proposed cost is reasonable. The audit alerts both the contractor and Caltrans management to problems relative to the contractor's cost proposal and cost accounting system. Due to time constraints in the award process, your cooperation in scheduling the preaward audit with short notice will expedite the execution of your contract.
- **Interim Audits:** Interim audits are performed on an as-needed basis. During the preaward audit, if it is determined that the contractor's accounting system is new or minor deficiencies are noted, an interim audit is scheduled to determine that the system is functioning adequately to ensure that billed costs are supported and that any deficiencies were corrected. An interim audit may be requested by the contract administrator or by Caltrans management to address concerns during the course of the contract. Also, an audit manager may initiate an interim audit on a multi-year contract to ensure that costs reimbursed to date are allowable.
- **Post Audits:** Post audits of contracts are performed randomly after project completion. Post audits are performed to determine whether the costs claimed are allowable, allocable, reasonable, and in compliance with the Federal and State laws and regulations as well as the fiscal provisions stipulated in the contract. The examination includes reviews of applicable laws and regulations, the contract requirements and the contractor's internal control system. Audit tests of the contractor's accounting records and other auditing procedures considered necessary will also be performed. Applications of all audit procedures would also be governed by the individual contract under audit. Unsupported or unallowable costs are normally the result of weaknesses in the accounting system and will be reimbursed to Caltrans.

To provide contractors with a procedure for obtaining prompt and equitable resolution of disputes arising from a post audit of a non-highway construction cost reimbursement contract, Caltrans has established an Audit Review Committee (ARC). Information explaining the ARC should be found in your contract and/or as an attachment to the post audit report.

## AUDIT CRITERIA

For specific information regarding basic cost accounting systems and applicable State and Federal regulations, please see the following:

- **Code of Federal Regulations 48, Federal Acquisition Regulations System, Chapter 1, Part 31:** This regulation contains cost principles and procedures for the pricing of contracts, subcontracts and the determination, negotiation, or allowance of costs. Contact:

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402

Washington, D.C. (202) 512-1800  
San Francisco (415) 512-2770  
Los Angeles (213) 239-9844

- **California State Administrative Manual:** A reference source for statewide policies, procedures, regulations and information. Contact:

Office of State Publishing,  
Department of General Services.  
Call for order form: (916) 445-2295.

For review of the above references, contact your local library or the California State Library.

California State Library  
Library and Courts Building  
914 Capitol Mall, P.O. Box 942837  
Sacramento, CA 94237-0001

Information: (916) 654-0261

For assistance in establishing an accounting system which will meet the objectives outlined in this brochure, you should contact an accountant and/or bookkeeper who is familiar with cost accounting systems.

**Exhibit 10-O Local Agency Proposer/Bidder-DBE (Consultant Contract) Information**

### Local Agency Proposer/Bidder-DBE (Consultant Contracts)-Information

This information shall be provided by the successful Proposer/Bidder with the award document.

☐ Preliminary Engr.    ☐ Studies    ☐ Environmental Document    ☐ Prelim Design☐ Final Design Right of Way    ☐ Right of Way Engineering    ☐ Right of Way Utility Relocation☐ Construction    ☐ Construction Engineering    ☐ Construction Management  
LOCATION:

AGENCY: \_\_\_\_\_ LOCATION: \_\_\_\_\_

PROJECT DESCRIPTION \_\_\_\_\_

CONTRACT NUMBER: \_\_\_\_\_

FEDERAL-AID PROJECT NUMBER: \_\_\_\_\_  
FEDERAL CONTRACT AMOUNT: \$ \_\_\_\_\_

TOTAL CONTRACT AMOUNT: \$ \_\_\_\_\_  
 (SEE ALSO QUOTE (For land survey to complete) \$ \_\_\_\_\_)

FEDERAL SHARE (For local agency to complete) : \$ \_\_\_\_\_  
PROPOSAL/BID DATE: \_\_\_\_\_

PROPOSAL/BID DATE: \_\_\_\_\_  
PROPOSER'S/BIDDER'S NAME: \_\_\_\_\_

[illegible]

CT Bidder - DBE Information (Rev 4/28/06)

Distribution: (1) Copy Fax immediately to the Caltrans District Local Assistance Engineer (DLAE) upon award.  
(2) Copy Include in award package to Caltrans District Local Assistance  
(3) Original Local Agency files

**INSTRUCTIONS · LOCAL AGENCY PROPOSER/BIDDER-DBE (CONSULTANT  
CONTRACTS) INFORMATION FORM (Revised 10/05)**

The form requires specific information regarding the consultant contract: Agency, Location, Project Descriptions, Contract Number (assigned by local agency), Federal Aid Project Number (assigned by Caltrans Local Assistance), Total Dollar Contract Amount, Proposal/Bid Date, and Proposer's/Bidder's Name.

The form has a column for the Contract Item Number (or Item No's) and Item of Work and Description or Services to be Subcontracted or Materials to be provided by DBEs. The DBE should provide a certification number to the Contractor. Notify the Contractor in writing with the date of the decertification if their status should change during the course of the contract. The form has a column for the Names of DBE certified contractors to perform the work (include DBE address and phone number).

There is a column for the total DBE dollar amount. Enter the Total Claimed DBE Participation dollars and percentage amount of items of work submitted with your proposal/bid pursuant to the Contract Provisions. (If 100% of item is not to be performed or furnished by the DBE, describe exact portion of time to be performed or furnished by the DBE.)

**Exhibit 10-O must be signed and dated by the person proposing/bidding. Also list a phone number in the space provided and print the name of the person to contact.**

## Exhibit 10-S Consultant Performance Evaluation

(Name of Agency)

Consultant Performance Evaluation

The purpose of this form is to provide historical data to Agency staff when selecting consultants

File No. \_\_\_\_\_

## Section 1

1. PROJECT DATA		2. CONSULTANT DATA				
1a. Project (include title, location, and Agency/CIP No.)	2a. Consultant Name and Address					
1b. Brief Description of Project (design, study, etc.)	2b. Consultant's Manager					
1c. Budget Cost for Project: \$ _____	2c. Phone: ( ) _____					
<b>3. AGENCY DEPARTMENT/SECTION RESPONSIBLE</b>						
3a. Department (include section and division)		3b. Agency Project Manager (name & phone)				
<b>4. CONTRACT DATA (Engineering Services)</b>						
4a. Contract No. _____ Termination date: _____ Base Fee: \$ _____		Agreement date: _____ Date terminated: _____ Contingency: \$ _____				
4b. Amendments \$ _____ / # _____ (Total Value) (initiated by Agency)		\$ _____ / # _____ (Total Value) (initiated by reason)				
4c. Change Orders \$ _____ / # _____ (Total Value) (initiated by Agency)		\$ _____ / # _____ (Total Value) (initiated by reason)				
4d. Total Fee per Agreement (4a. + 4b. + 4c.) \$ _____		Total Fee Paid \$ _____				
(Do not include Contingency listed in 4a.)						
4e. Type of Services (Design, study, etc.)	4f. Historical Record of Key Submittal Dates (enter date or n/a if not applicable)					
	Preliminary	10%	70%	90%	100%	Total
	Per Agreement					
	Delivery Date					
	Acceptance Date					
4g. Notice To Proceed _____ (date)	4j. Reasons for Change Orders (Indicate total for each reason)					
4h. Number of Days _____ (number)	Errors/Omissions	\$ _____	% of Base Fee	%		
4i. Actual Number of Days _____ (number)	Unforeseen Conditions	\$ _____	% of Base Fee	%		
	Changed Scope	\$ _____	% of Base Fee	%		
	Changed Quantities	\$ _____	% of Base Fee	%		
	Program Task Options	\$ _____	% of Base Fee	%		
<b>5. OVERALL RATING (Complete Section II on reverse, include comments as appropriate.)</b>						
	Outstanding	Above Average	Average	Below Average	Poor	NA
5a. Plans/Specifications accuracy						
5b. Consistency with budget						
5c. Responsiveness to County Staff						
5d. Overall Rating						
<b>6. AUTHORIZING SIGNATURES</b>						
6a. Agency Design Team Leader _____		Date: _____				
6b. Agency Project Manager _____		Date: _____				
6c. Agency Public Works Manager _____		Date: _____				
6d. Consultant Representative _____		Date: _____				

SEE REVERSE SIDE

# EXHIBIT G.9

## EXHIBIT 10-S Consultant Performance Evaluation

## Local Assistance Procedures Manual

Section II		Specific Ratings											
PLANS/SPECIFICATIONS	Outstanding	Above Avg.	Avg.	Below Avg.	Poor	N/A	Responsiveness To Staff	Outstanding	Above Avg.	Avg.	Below Avg.	Poor	N/A
ACCURACY													
Plans Specifications clear and concise							Timely Responses						
Plans/Spec Coordination							Attitude toward Client and service location						
Plans/Spec properly formatted							Follows directions and Chain of responsibility						
Code Requirements covered							Work product delivered on time						
Adhered to Agency Standard Drawings/Specs							Timeliness in notifying Agency of major problems						
Drawings reflect existing conditions							Resolution of field Problems						
As-Built Drawings							Consistency with Budget	Outstanding	Above Avg.	Avg.	Below Avg.	Poor	N/A
Quality Design							Reasonable Agreement regarding						
Change Orders due to design deficiencies are minimized							Adherence to schedule						
							Adherence to project Budget						

Section III		EXPLANATIONS AND SUPPLEMENTAL INFORMATION	
		(Attach additional documentation as needed)	
Item _____:			
Item _____:			
Item _____:			
Item _____:			
Item _____:			
Item _____:			

\*Indicates supporting documentation attached.

**EXHIBIT 3-A REQUEST FOR AUTHORIZATION  
TO PROCEED WITH PRELIMINARY ENGINEERING**  
(Local Agency Letterhead)

To: (DLAE Name)  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
(District Address)

Date: \_\_\_\_\_  
FTIP/FSTIP ID: \_\_\_\_\_  
Federal Project No: \_\_\_\_\_  
EA: \_\_\_\_\_  
PPNO (For STIP Projects): \_\_\_\_\_  
Major ITS (Phase 1 or 2): \_\_\_\_\_  
Project Description: \_\_\_\_\_

Dear (DLAE Name):

In order to begin federally reimbursable preliminary engineering work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for PE Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ For Major ITS Projects - Phase 2 Only: FHWA approved Systems Engineering Management Plan (SEMP) (Note that federal approval of the SEMP is contingent on prior federal approval of the Systems Engineering Review Form [SFRF])
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for Capital Subvention Reimbursement Allocation (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ A Field Review Form will be submitted within four (4) months of the Federal Authorization date, otherwise, it is understood the authorization to proceed will be canceled automatically. It is further understood that a Program Supplement Agreement will NOT be prepared until after the Field Review Form is submitted.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_
  - ☐ Categorical Exclusion (CE) Form
  - ☐ Findings of No Significant Impact (FONSI)
  - ☐ Record of Decision (ROD)
  - ☐ Re-evaluation
- ☐ This agency has not completed the environmental process. The NEPA Document will be submitted at a later date, prior to beginning of final design (PS&E).

Disadvantaged Business Enterprise (DBE)

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY \_\_\_\_\_ was approved by Caltrans on \_\_\_\_\_.
- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts the Local Agency Proposer/Bidder-DBE (Consultant Contract) Information (Exhibit 10-O) will be provided immediately upon execution of the consultant contract.

## Local Assistance Procedures Manual

## Exhibit 3-A

## Request for Authorization To Proceed with Preliminary Engineering

Pre-Award Audit

- ☐ Completed Audit Disposition (Exhibit 10-K), or
- ☐ Audit Disposition was not completed because neither federal-aid nor state funds will be used to fund a consultant contract, or
- ☐ Pre-award audit was not performed because the consultant contract is for \$250,000 or less and does not meet the criteria outlined in Exhibit 10-K, requiring pre-award audit, or
- ☐ Audit Disposition is not being submitted at this time. It will be submitted to the DLAE prior to entering a contract with the consultant(s).

California Transportation Commission (CTC) Allocation

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of \$ \_\_\_\_\_ (federal/state) funds for the PA/ED and/or PS&E component(s) of work was made at the \_\_\_\_\_ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" and Agency submittal of the "Field Review" form (Exhibit 7-B) a "Program Supplement Agreement" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by \_\_\_\_\_ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or State approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

## CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed." I further understand that all subsequent phases of the project will require a separate "Federal Authorization to Proceed."

For all ITS projects, I understand that our project shall be consistent with the Regional ITS Architecture, adhere to ITS Standards, and undergo Systems Engineering analysis. For Major ITS projects, I understand that this Agency shall not proceed with component detailed design until after FHWA approval of the SEMP and receipt of "Authorization to Proceed."

Please advise us as soon as the "Federal Authorization to Proceed" has been issued. You may direct any questions to:

\_\_\_\_\_  
(Name of Local Agency Contact) at \_\_\_\_\_ (phone number and e-mail address)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Agency

Distribution: DLAE

# EXHIBIT G.11

## Local Assistance Procedures Manual

## EXHIBIT 17-F Final Report of Utilization of Disadvantaged Businesses

### EXHIBIT 17-F FINAL REPORT UTILIZATION OF DISADVANTAGED BUSINESSES

STATE OF CALIFORNIA DEPARTMENT OF TRANSPORTATION  
LOCAL ASSISTANCE - FEDERAL - FINAL REPORT - UTILIZATION OF  
DISADVANTAGED BUSINESS ENTERPRISES (DBE), FIRST-TIER  
SUBCONTRACTORS

Revised 8/04

CONTRACT NUMBER		COUNTY	LOCATION	PROJECT DESCRIPTION	FEDERAL AID PROJECT NO.	ADMINISTERING AGENCY		CONTRACT COMPLETION DATE	
PRIME CONTRACTOR/CONSULTANT				BUSINESS ADDRESS		FEDERAL SHARE (For local agency to complete)		FINAL CONTRACT AMOUNT	
CONTRACT ITEM No.	DESCRIPTION OF WORK PERFORMED AND MATERIAL PROVIDED	SUBCONTRACTOR NAME AND BUSINESS ADDRESS	DBE CERT NUMBER & EXP. DATE	CONTRACT PAYMENTS			FEDERAL SHARE \$		
				NON-DBE	DBE (MINORITY)	DBE (NON- MINORITY WOMEN)	DBE (MINORITY WOMEN)	DATE OF FINAL PAYMENT	
				TOTAL PAYMENTS \$	\$	\$	\$		
ORIGINAL DBE COMMITMENT				Original DBE %					DBE GOAL ATTAINMENT
List all First Tier Subcontractors and all Disadvantaged Business Enterprises (DBEs) regardless of tier, whether or not the firms were originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at time of award, provide comments on the back of the form. List actual amount paid to each of the DBE even if different than originally listed for goal credit.									
CONTRACTOR/CONSULTANT REPRESENTATIVE'S SIGNATURE				BUSINESS PHONE NUMBER			DATE		
RESIDENT PROJECT ENGINEER'S SIGNATURE				BUSINESS PHONE NUMBER			DATE		
AGENCY									

Distribution: (1) Original plus one copy included in the Report of Expenditures - DIAB  
(2) Copy - Local Agency files

**EXHIBIT 17-F**  
**Final Report of Utilization of Disadvantaged Businesses**

**Chapter 17**  
**Project Completion**

Form CP-CEM 2402(F) (Rev 08/04)  
 FINAL REPORT UTILIZATION OF DISADVANTAGED BUSINESS  
 ENTERPRISES (DBE), FIRST TIER SUBCONTRACTORS (FEDERALLY FUNDED PROJECTS)

The form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles, a box to check that the project is indeed a Federal Aid Project, the Administering Agency, the Contract Completion Date and the Estimated Contract Amount. It requires the Prime Contractor's name and Business Address. The focus of the form is to describe who did what by contract item numbers and descriptions, asking for specific dollar values of item work completed broken down by subcontractors who performed the work, both DBE and non-DBE work forces. DBE prime contractors are required to show the date of work performed by their own forces along with the corresponding dollar value of work.

The form has a column to enter the Contract Item No (or Item No's) and Description of work performed or Materials provided, as well as a column for the Subcontractor's Name and Business Address. For firms who are DBE, there is a column to enter their DBE Certification No. The DBE should provide their Certification Number to the Contractor and notify the Contractor in writing with the date of the decertification if their status should change during the course of the project.

The form has five columns for the dollar value to be entered for the item work performed by the subcontractor.

The Non-DBE Column is used to enter the dollar value of work performed for firms who are not certified DBE.

The decision of which column to be used for entering the DBE dollar value is based on what Program(s) the firm is Certified. This Program status is determined by the Civil Rights Certification Unit based on ethnicity, gender, ownership and control issues at time of certification. The certified firm is issued a certificate by the Civil Rights Unit that states their program status as well as the firms Expiration Date. DBE Program status may be obtained by accessing the Civil Rights website ([www.dot.ca.gov/hq/bep/](http://www.dot.ca.gov/hq/bep/)) and downloading the Calcert Extract or by calling (916) 227 2207. Based on this DBE Program status, the following table depicts which column to be used:

DBE Program Status	Column to be used
If program status shows DBE only with no other programs listed	DBE
If program status shows DBE, SDBE	DBE Minority
If program status shows DBE, SDBE, SWBE	DBE (Minority Women)
If program status shows DBE, SWBE	DBE (Non-Minority Women)

If a contractor performing work as a DBE on the project becomes decertified, and still performs work after their decertification date, enter the total dollar value performed by this contractor on Form 2402(F) under the appropriate DBE Program Status (include all work performed after decertification) and complete and submit Form CEM-2403(F) as appropriate. Any comments to be made on the Form 2402(F) are to be explained on the reverse side of the Form. Indicate in the Comment section that Form CEM 2403(F) is being submitted.

If a contractor performing work as a Non-DBE on the project becomes certified as a DBE enter the dollar value of all work performed as a DBE on CEM-2402(F) and CEM-2403(F). Any comments to be made on the Form 2402(F) are to be explained on the reverse side of the Form. Indicate in the Comment section that Form CEM 2403(F) is being submitted.

There is a space provided on the CEM-2402(F) where the TOTAL is entered for these five columns.

There is a column on the CEM-2402(F) to enter the Date Work Complete as well as a column to enter the Date of Final Payment, which is an indicator of when the Prime Contractor made the "final payment" to the subcontractor for the portion of work listed as being completed.

The Original DBE Commitment area on the CEM-2402(F) is based on information at Award time of the project and is the total dollar value of those subcontractors listed at Award based on the above table.

The CEM-2402(F) has an area at the bottom where the Contractor and the Resident Engineer sign and date that the information provided is complete and correct.